RTI Pro User Guide

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Settings and Folder Locations

Clicking the [Settings] Menu will display the following screen.
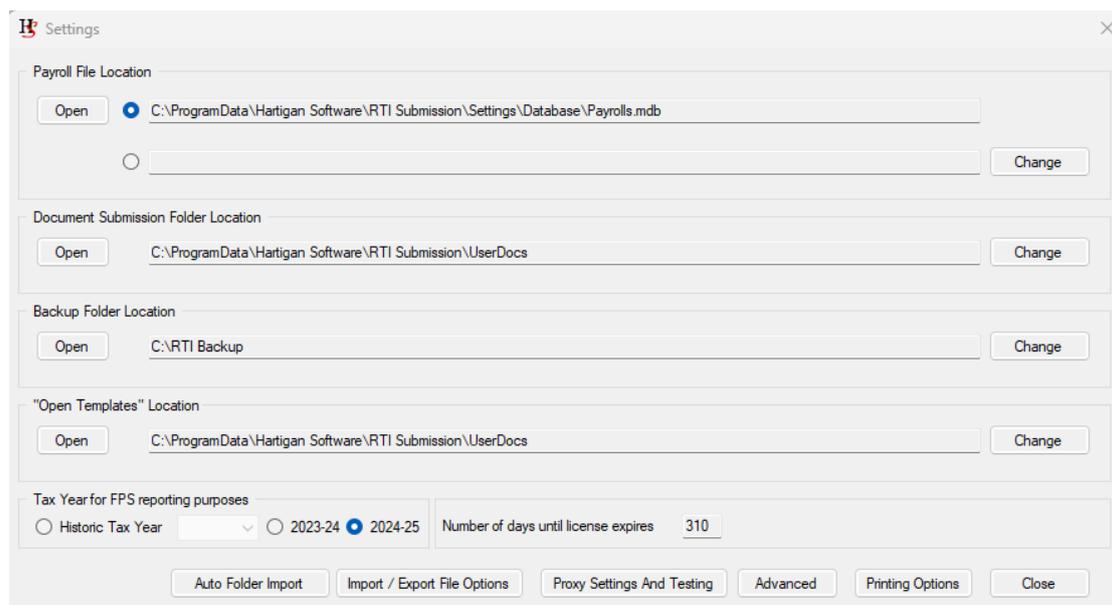
Setting the File Locations

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. The "Open Templates" location determines where new Excel files are saved when blank import templates are used.

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.

Printing Options

The Printing Options screen is displayed when the [Printing Options] 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 Type

Set the default file type to be used when importing files into the software. This saves time by not having to change the option in the file type drop down box each time a file is imported.

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.

Export File Locations

Set the default file locations to be used when exporting files from the software. This saves time by not having to browse to the location each time a file is exported.

File Import Options

The **[Generate and output BACS random string to Excel file]** option will generate the BACS random string for all records where the payee sort code and recipient sort code have been entered but the BACS random string has not. It will also output the BACS random string to the Excel file.

If the **[Use PAYE Ref from import spreadsheet]** option is set, the payroll will be automatically selected when submissions are made. The [PAYE Ref] column must be populated on the Excel import spreadsheet in the format 999/XXX where 999 is the HMRC Office number and XXX is the Employer reference number if the [Use PAYE Ref from import spreadsheet] option is set.

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

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

Security Settings

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.

Automated FPS Submission Settings

This setting will allow a file to be automatically validated and submitted once imported. See the separate [Unattended Full Payment Submissions] section for further details.

Bulk Submission Settings

These settings refer to where multiple Full Payment Submissions are made in a single process. See the Bulk Submission Settings section for further details.

Split large submissions into smaller file sizes

This option will split large submissions into smaller file sizes to improve submission times and reduce the risk of exceeding the Government Gateway size limit**.** See the separate [Split Large FPS Files into Smaller Submissions] section for further details.

Testing Options

Use these options to direct submissions to the Government Gateway Test server or to the Government Gateway Live server flagged as a test submission.

Add Payroll Employer Information

Click the [Payrolls] menu to open the payroll details entry window.
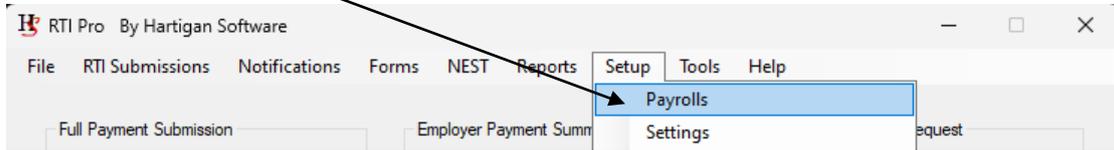
Ensure all required information is available, click [Add New] and enter the payroll name (Weekly Pay, Monthly Salaries etc.) and other information required. Click [Save] to save the information entered. Continue until all required Payrolls have been set up.
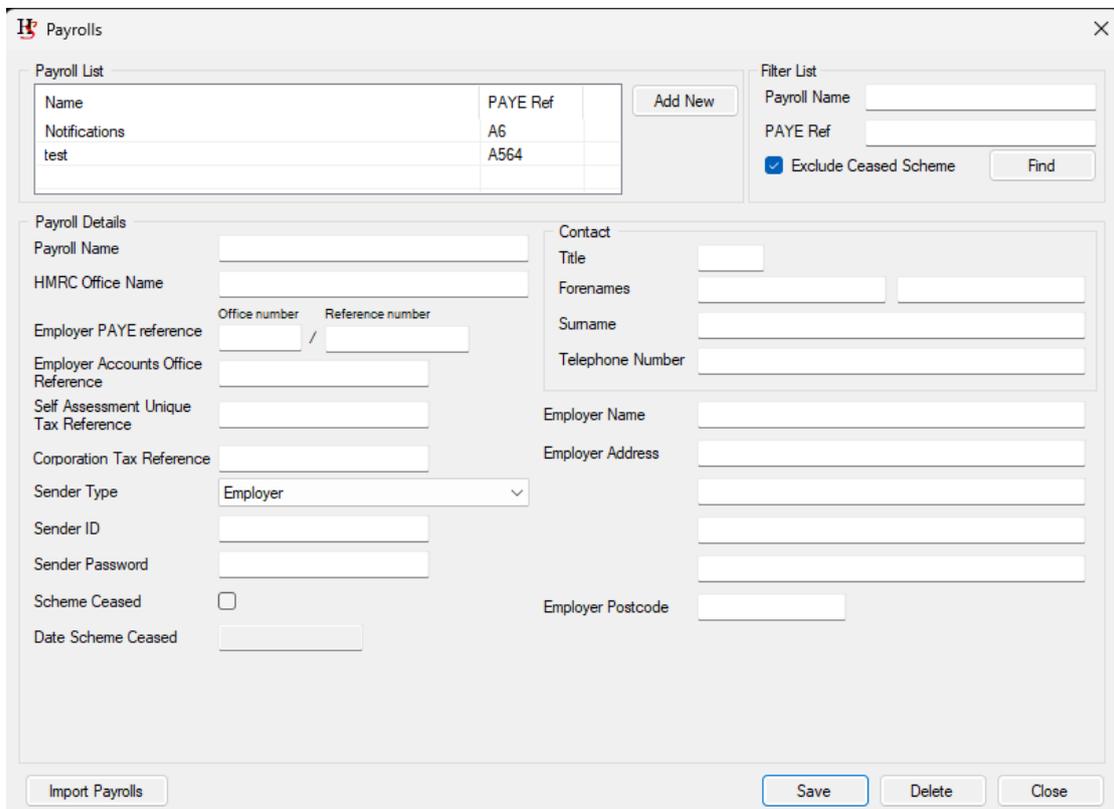
Add Payroll Employer Information

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

A descriptive name of your choosing for example Monthly Salaries or Weekly Pay.

The name of your local tax office.

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.

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.

This reference number can be found on your P30BC 'Payment booklet' or P30B 'Paying electronically'. It will be in the format 123PA00012345.

If applicable:
for example, if you are an employer who is a sole proprietor or a partnership.

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.

Normally set to 'Employer'.

Enter your Government Gateway User ID.

Enter your Government Gateway Password.

Payroll List

Name	PAYE Ref
Notifications	A6
test	A564

Payroll Details

Payroll Name

HMRC Office Name

Forenames

Employer PAYE reference — Office number / Reference number

Employer Accounts Office Reference

Self Assessment Unique Tax Reference

Corporation Tax Reference

Sender Type — Employer

Sender ID

Sender Password

Scheme Ceased ☐

Date Scheme Ceased

Add Payroll Employer Information

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

Filter List

| PAYE Ref |
| A6 |
| A564 |

Add New

Payroll Name

PAYE Ref

☑ Exclude Ceased Scheme   Find

Enter payroll manager contact details.

Contact

Title

Forenames

Surname

Telephone Number

Employer Name

Employer Address

Enter employer name and address.

Employer Postcode

Save   Delete   Close

Click [Save] to save the payroll data entered.

Click [Delete] to delete the selected payroll.

Click [Close] to close the Payrolls window.

Import Payroll Employer Information

Click the [Import Payrolls] button to begin the process

The following screen is displayed:

This button will create a new Excel document based on our data Import template.

This button allows you to import an existing Excel or CSV document.

This button will validate the data in the Excel or CSV document.

This button will import the data from the Excel or CSV document.

The import process is able to insert new payroll records or update existing payroll records. A CSV file can also be used for importing data as long as either:

1. the CSV column header names are the same
   or
2. the CSV file does not have column headers but the column order is the same as the Excel template

Full Payment Submission

Employee Payroll Data Entry / Import

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

'Open Template' generates an Excel document containing all payroll data reporting items.

'Import File' allows the import of an existing Excel, CSV, or XML document.
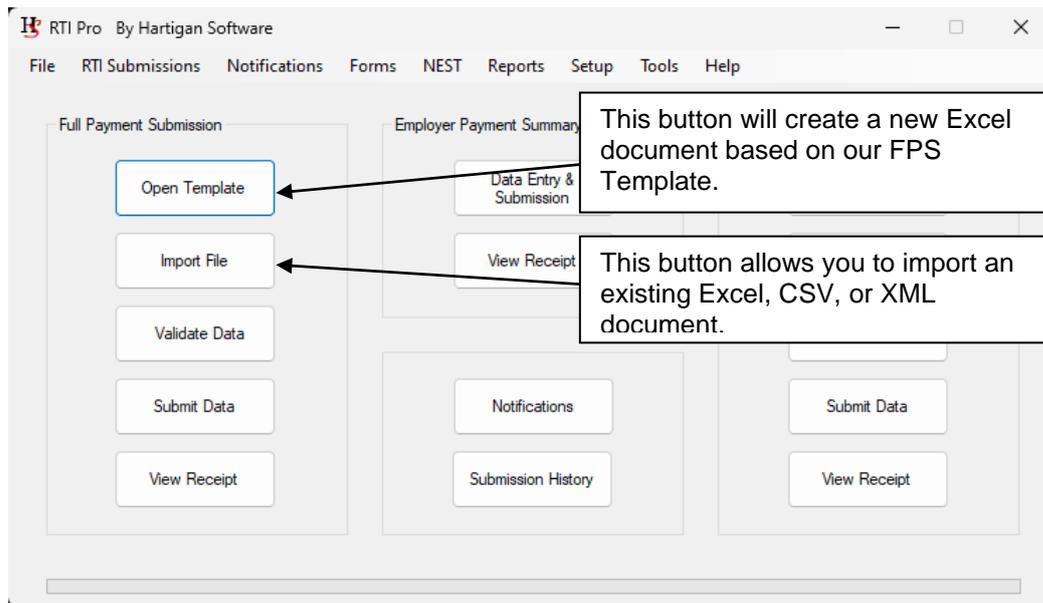
Open Template

Each time a template button is clicked an Excel document is created from the Full Template.

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 29th March 2013.

Full Payment Submission

Employee Payroll Data Entry / Import

Open Template
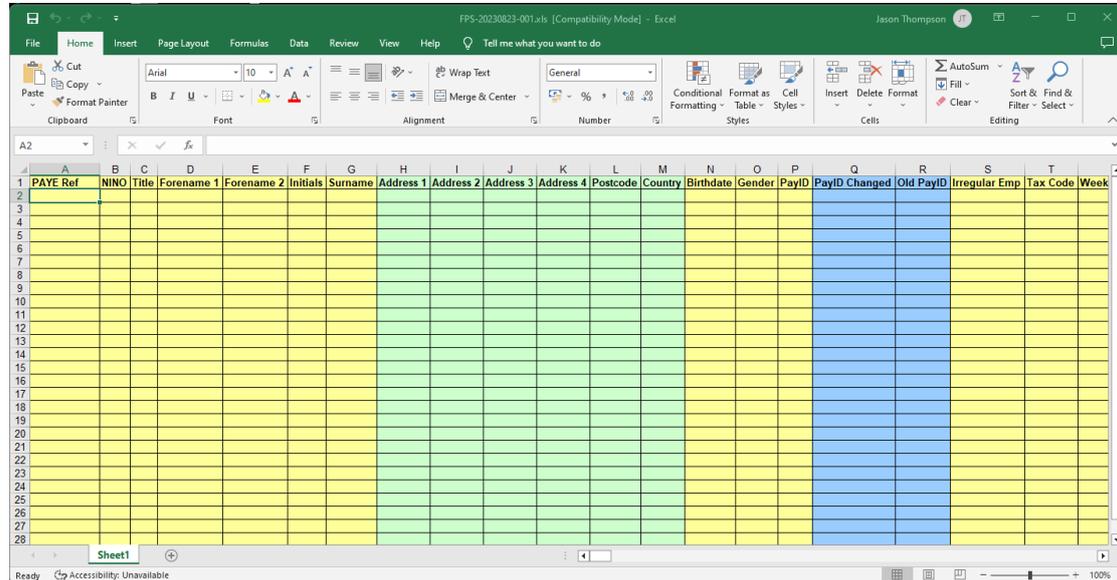
Click on the Excel spreadsheet displayed and enter the required payroll data.

The 'RTI FPS and EPS Import File Guides.pdf' is provided 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 the [Validate Data] button.

Import File

Click the [Import File] button, the window below is displayed:
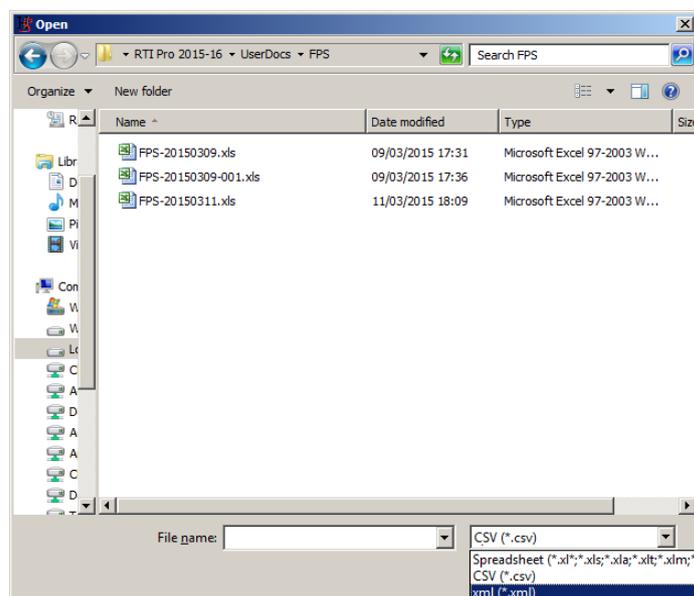
Full Payment Submission

Employee Payroll Data Entry / Import

Select the type of file (Spreadsheet, CSV, or XML) from the [Files of Type] drop down box, browse to the location of the file to be imported and press the [Open] button.

Excel Spreadsheet File Type

If an Excel spreadsheet is imported, the document is loaded and displayed behind the RTI Pro Main Window. The document can be updated before the validation step if required.

XML File Type

The XML file will be imported ready for validation

CSV File Type

If a CSV file is imported, the following screen will be displayed:
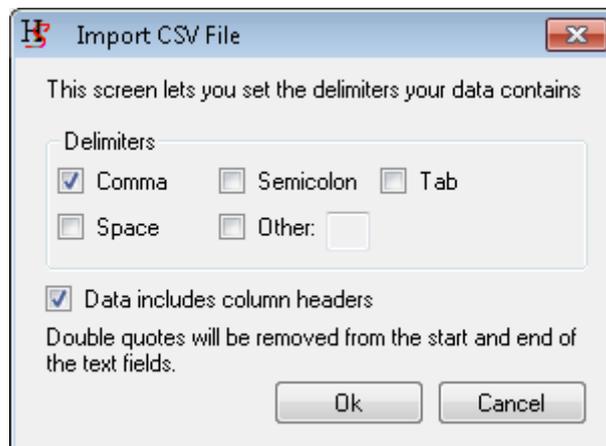
Select the delimiter used in the CSV file and whether or not the data contains column headers. If the data does not contain column headers, the columns will need to be in the same order as the standard Full Payment Submission Excel template.

Press the [OK] button once the selection has been made. The data will be imported ready for validation.

Full Payment Submission

Data Validation
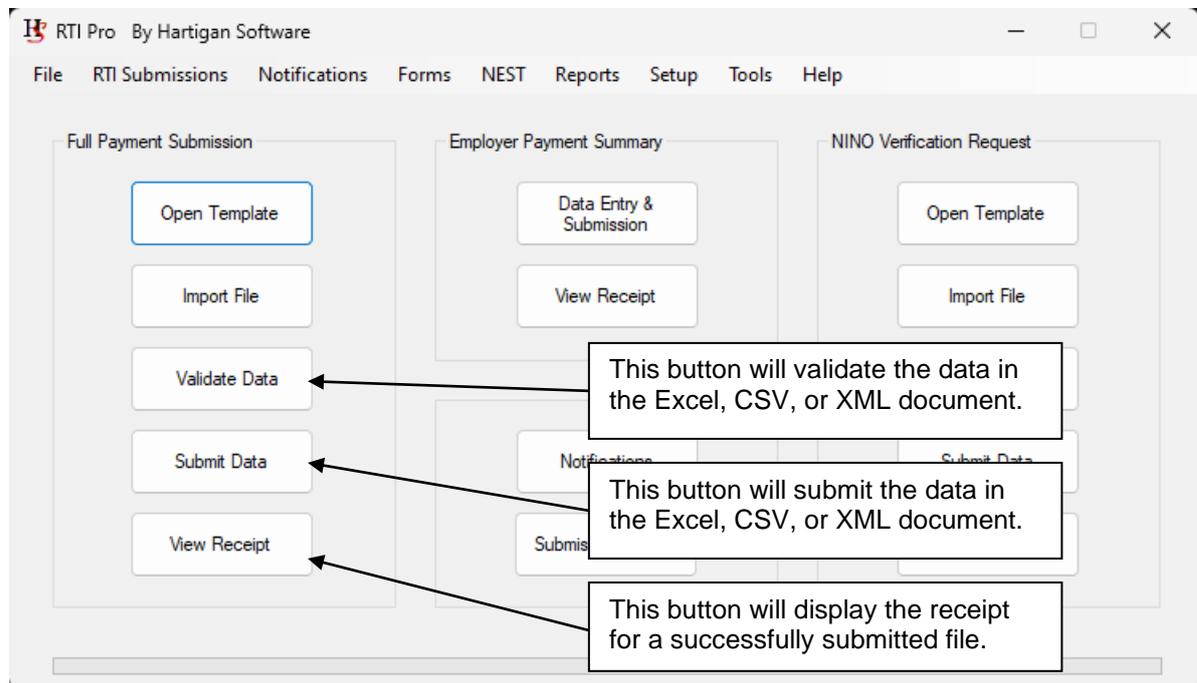
If more than one file is found the application will display a window showing the files found. The user should click on the required file, the file will be highlighted, then click [Ok].

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. Alternatively, the exceptions can be exported to a file by selecting the [Export Validation Exceptions to File] option in the Advanced Settings screen.
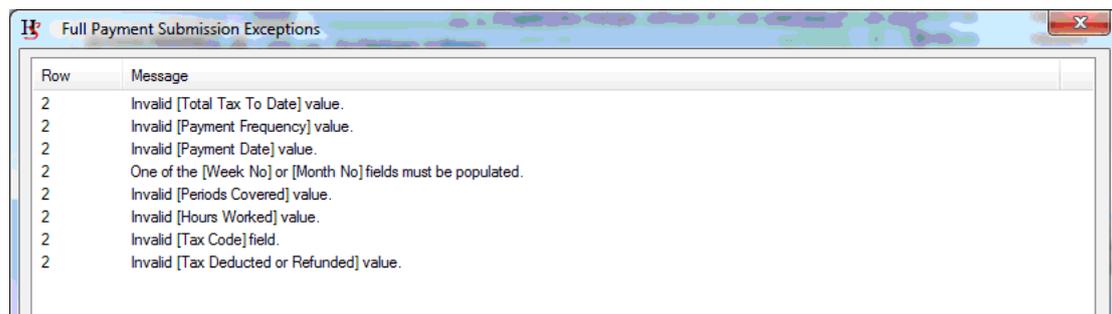
Review the information in the exceptions window above, click on the spreadsheet and add missing data or correct entries as necessary referring to the 'RTI FPS and EPS Import File Guides.pdf'' or HMRC website for guidance.

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

A 'Validated Successfully' message will be displayed after successful validation, the document is now ready for submission.

Full Payment Submission

Generate File

If more than one file is found the application will display a window showing the files found. The user should click on the required file, the file will be highlighted, then click [Ok].

The **Full Payment Submission** window is displayed:
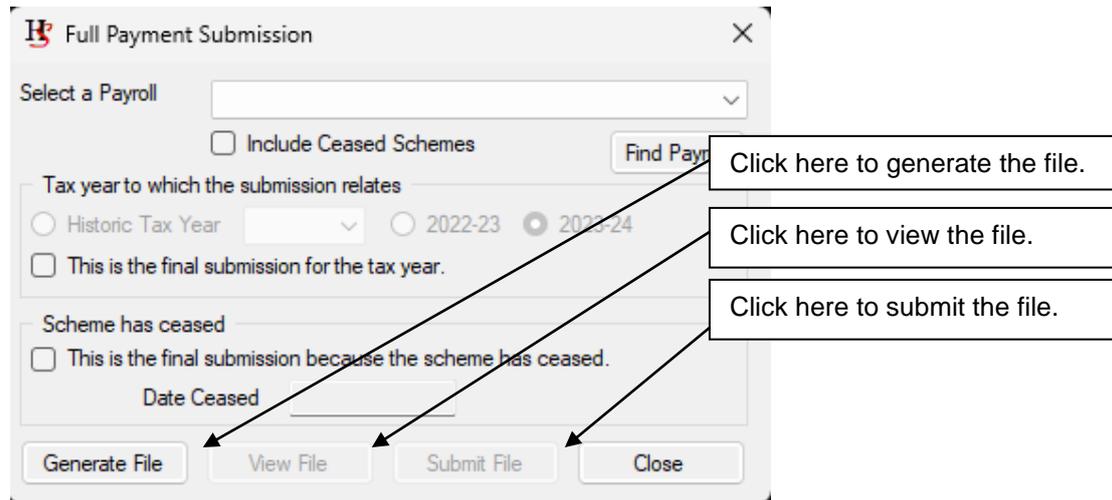
When processing the last payment for the tax year ensure the final submission box is ticked.

Click [Generate File], the following window should be displayed:
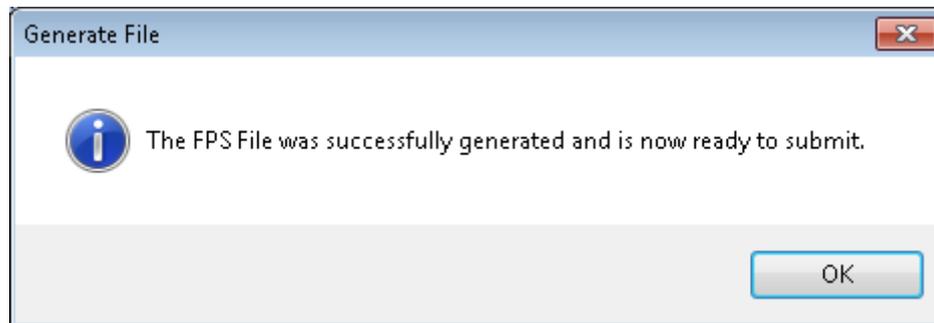
After successfully generating a submission file the [View File] and [Submit File] buttons are enabled.

Full Payment Submission

View File

Click [View File] to review the submission file content. The report provides a list of all employees with information being submitted to HMRC.

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

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

Full Payment Submission

Submit Data

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

A transmission progress window will be displayed. The time taken to transmit your data will depend on how much data you have to transmit, how busy the HMRC site is and the speed of your internet connection.

Transmission progress window:
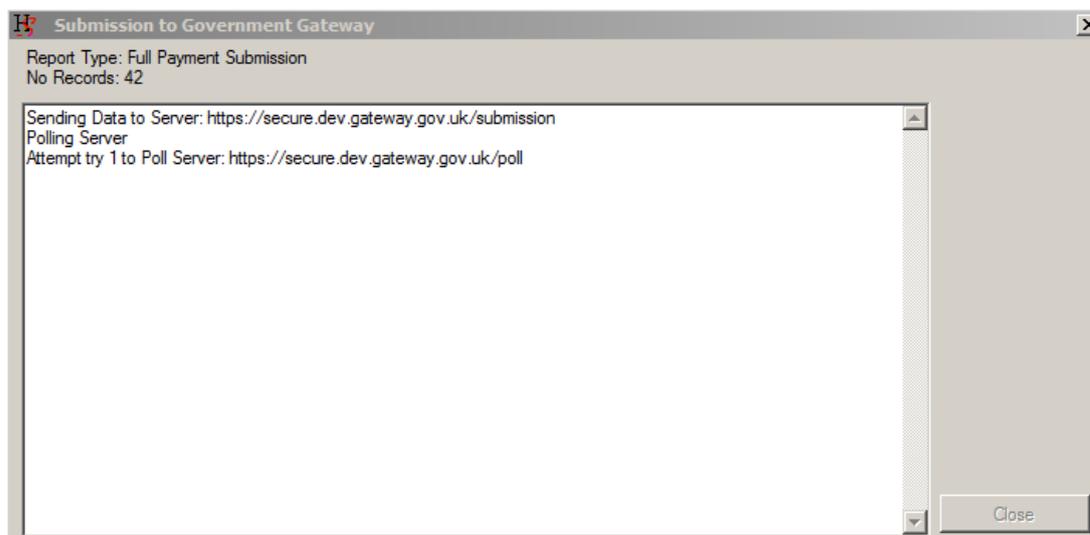
The window above shows where a file submission request has been made and a connection to the HMRC site has been established.

A successful submission is shown in the window below:

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 Document Submission Folder.

Employer Payment Summary

Click here to enter the data for the Employer Payment Summary.
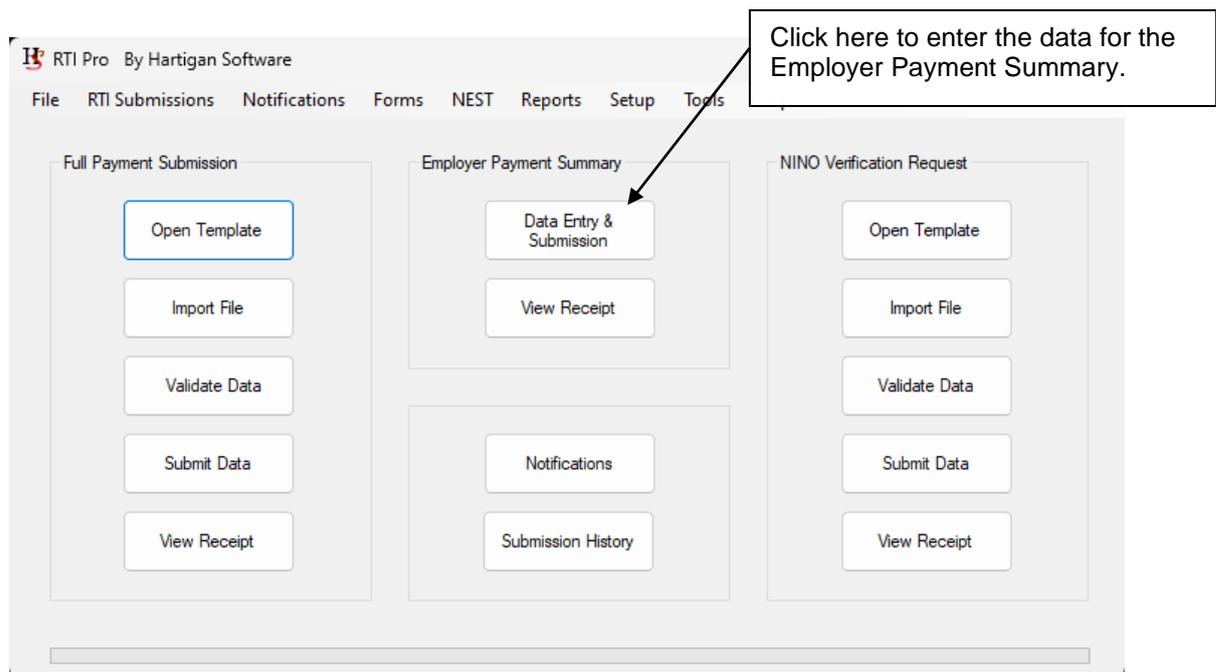
This submission is required to enable HMRC to calculate employer liability.

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) or an amount under the Regional National Insurance Contributions Holiday for New Businesses
- to notify HMRC of the eligibility to claim the annual employment allowance
- to notify HMRC of the bank details to which any repayment is to be sent.

The window on the following page will be displayed.

Complete the form either by:-

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

OR
- Import data from an XML, Excel or CSV document.

Employer Payment Summary: Payment Values

Enter relevant payment values here.

Click here to import file

Click here to generate, view, and submit the EPS file.

Employer Payment Summary: Period of inactivity

Employer Payment Summary: Period of inactivity

Employer Payment Summary: Bank Account Details

Employer Payment Summary: Submission

Click 'Generate File', the following window should be displayed:
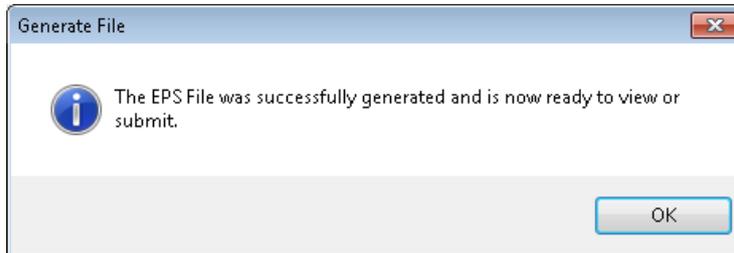
Click 'Ok' to close the EPS file creation confirmation window.

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:
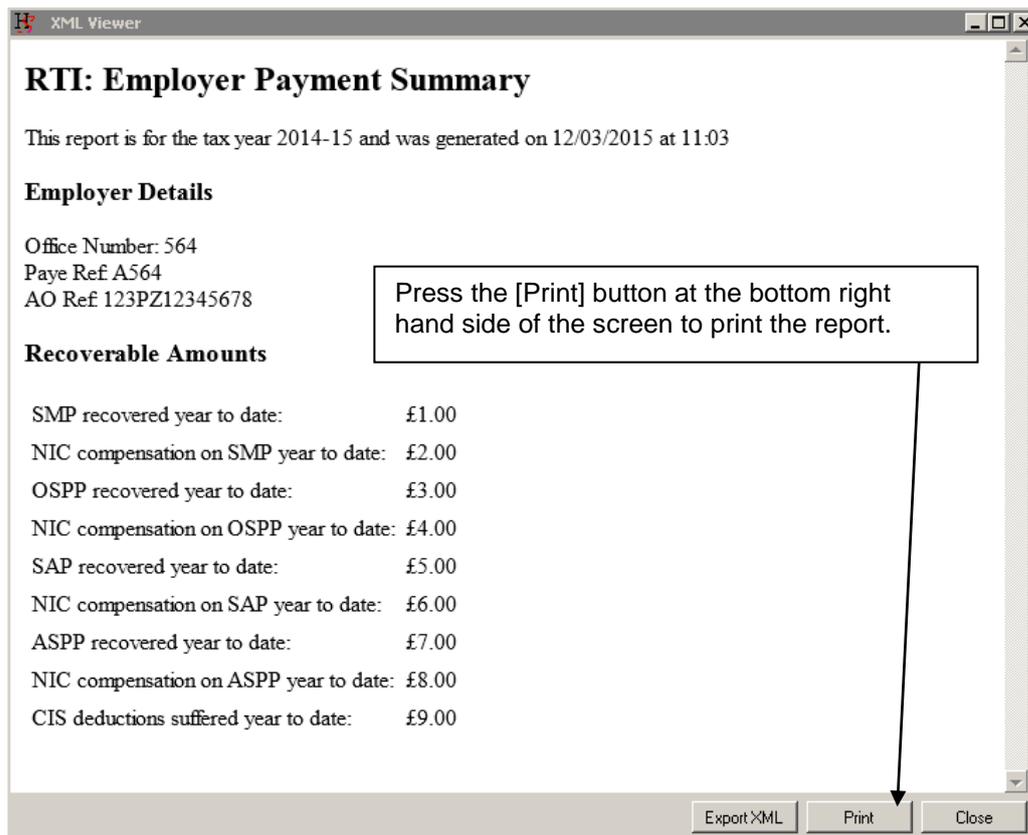
Submit Data

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.

NI Number Verification Request

You can use the national insurance number verification request submission to either:

- Obtain the correct national insurance number for an employee where you don't have one, or have used a temporary number.
- Confirm that the existing NI number you have for an employee is correct.

The response to the national insurance number verification request will be received in a HMRC RTI notice (see the Receive Notifications from HMRC section for further details).

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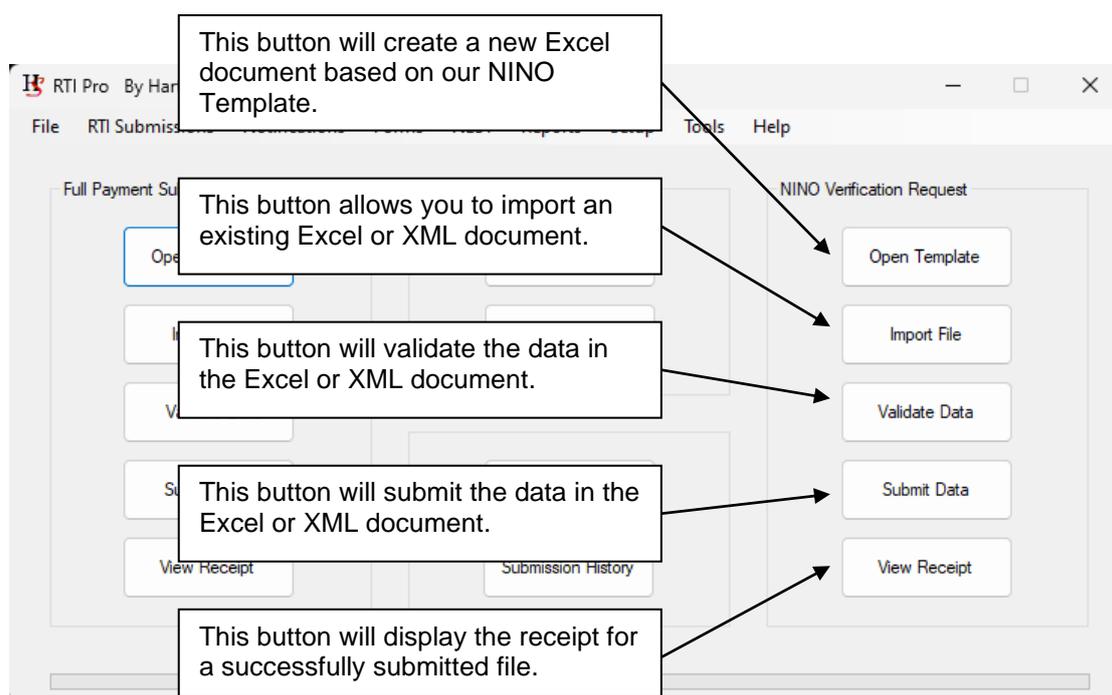
Click here to view the Submission History.
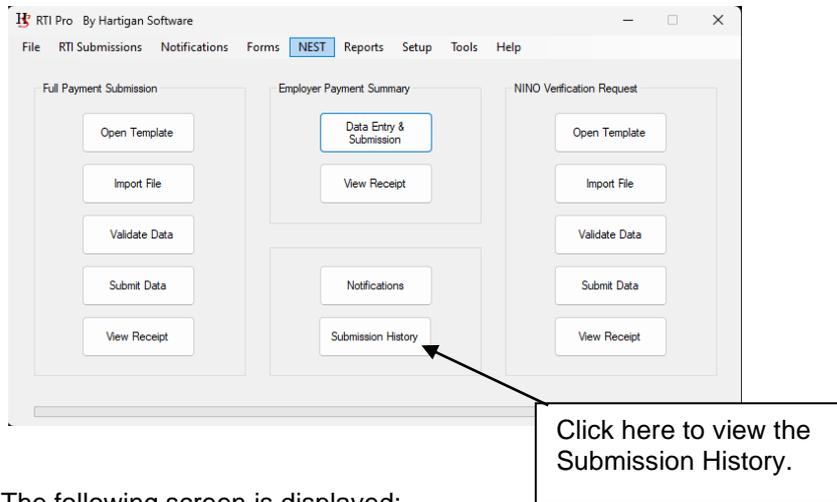
The following screen is displayed:
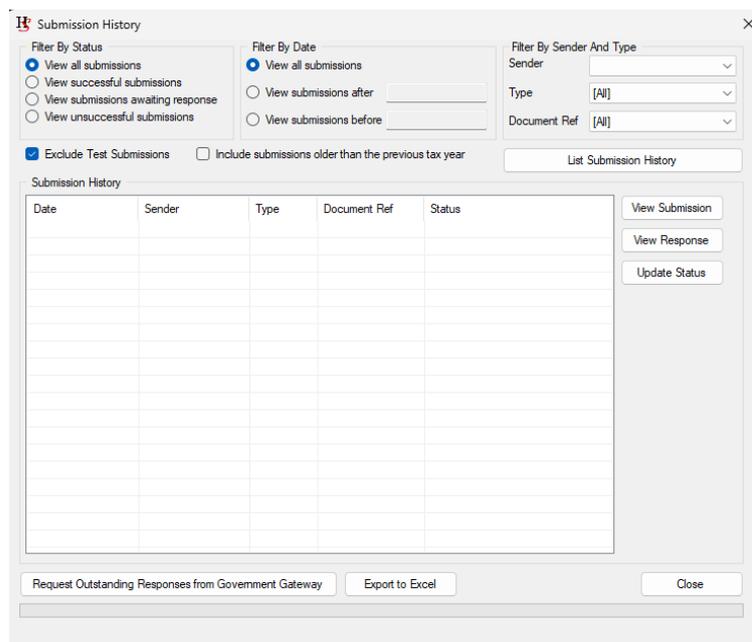
Select the appropriate filters from the selection at the top of the screen and press the [List Submission History] button. Please note that the history will not include submissions that were made prior to installing the 2014-15 version of the software.

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:
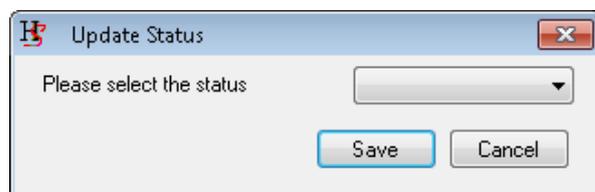
Request Outstanding Submission Reponses

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

Press the [List Submission History] button

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.

Receive Notifications from HMRC

Clicking the [Notifications] button will display the following screen

The [Check for Messages] button will connect to HMRC and update the list with the number of new messages to be retrieved for each category.

The [Retrieve Messages] button will retrieve the notifications and display them in the user's default internet browser.

The [View Old Messages] button can be used to display previously received notifications.

Export Notification Messages
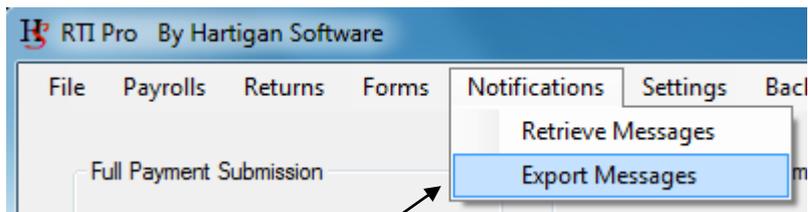
Click the [Notifications / Export Messages] menu to begin the process

The following screen is displayed:
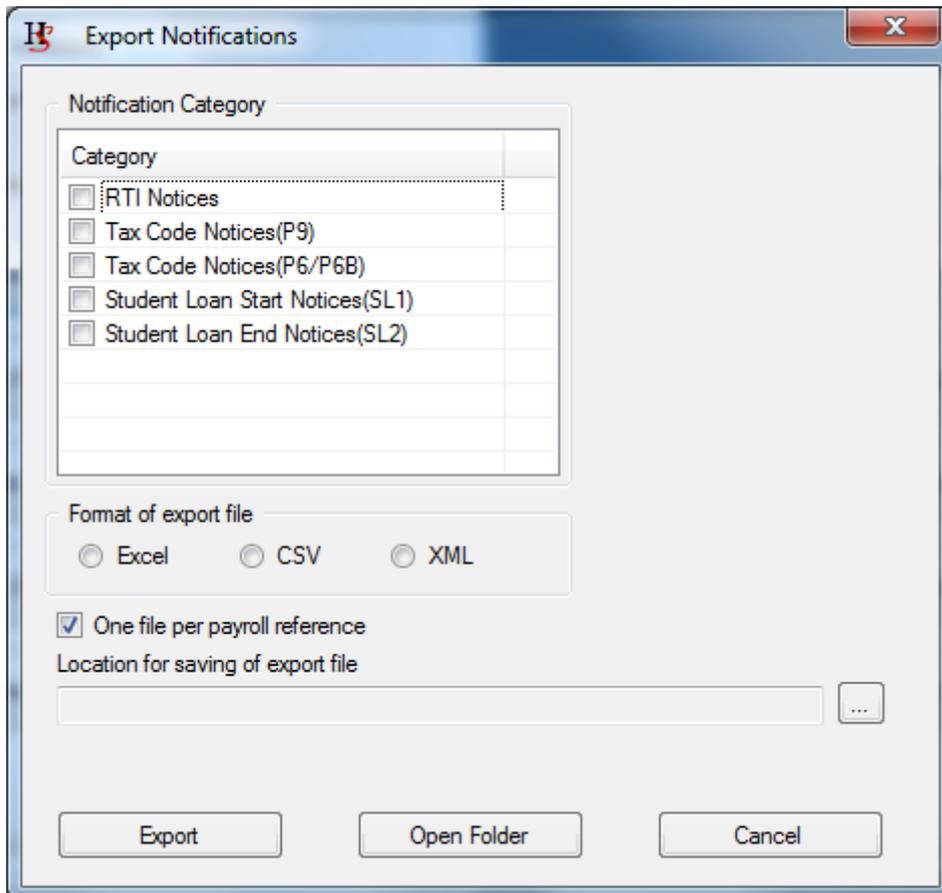
Select the notification category and export file format.

The default option is to create one file per payroll reference. Removing the tick from the [One file per payroll reference] will generate a single file containing the notifications for all payrolls' references.

Select the location for saving the export file. The default location for the export files can be set via the [Import / Export File Settings] button on the [Settings] screen.

Click the [Export] button to generate the notification files and the [Open Folder] button to view the files in the selected folder location.

P60 Printing

P60s are printed on either plain paper or using pre-printed P60 stationery that can be purchased from a third party.

The type of paper to be used for printing the P60s can be selected on the [Printing Options] screen:

Select the type of paper to be used from these options
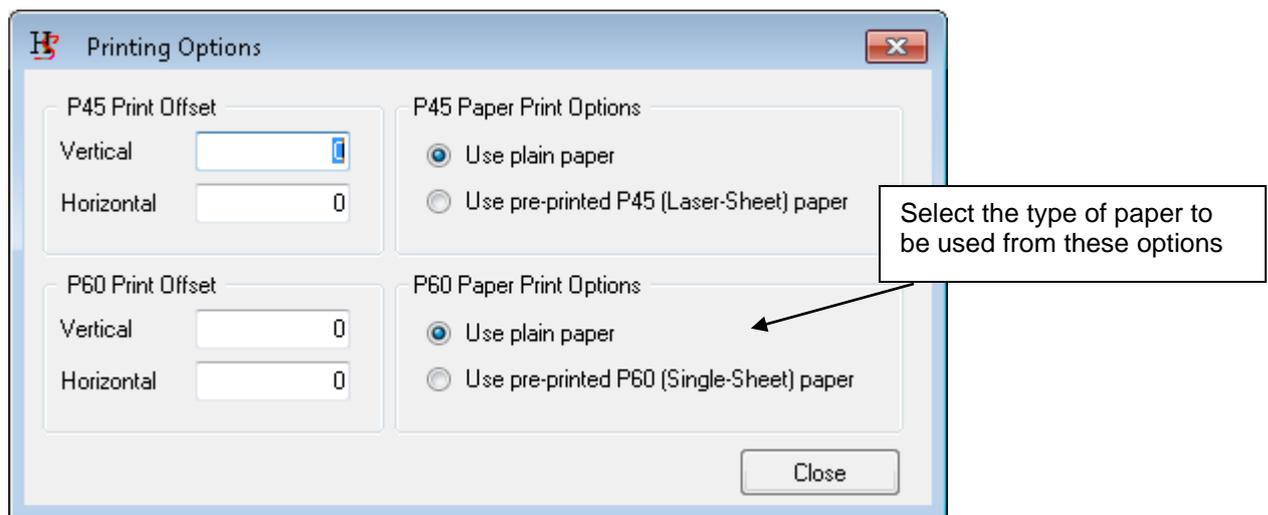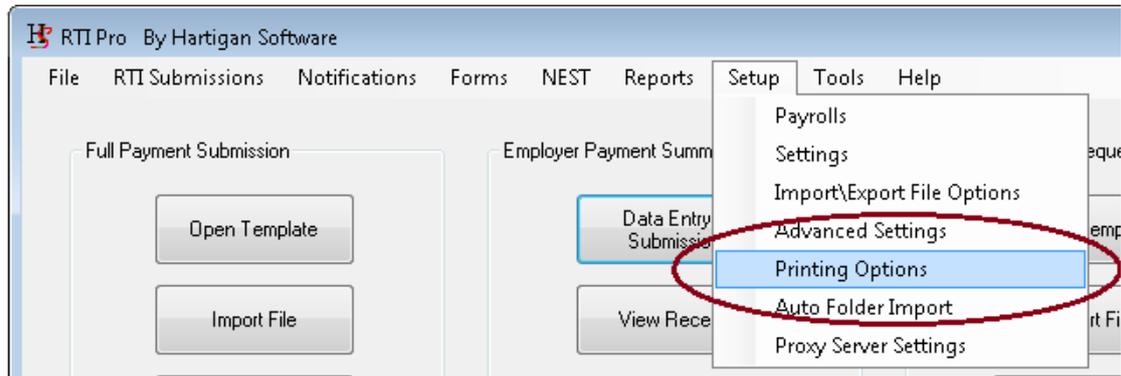
The P60 Print Offset values will move the printing coordinates down or right by the number of millimetres entered in the text boxes. Negative values can be entered if the coordinates need to be moved up or left.

P60 Printing

Click here to begin the P60 printing process.

Select the tax year that the P60s are in respect of.

This button will create a new Excel document based on our P60 printing Template.

This button allows you to import an existing Excel document with the data for P60 printing.

This button will display the following screen ready to print the P60 forms.
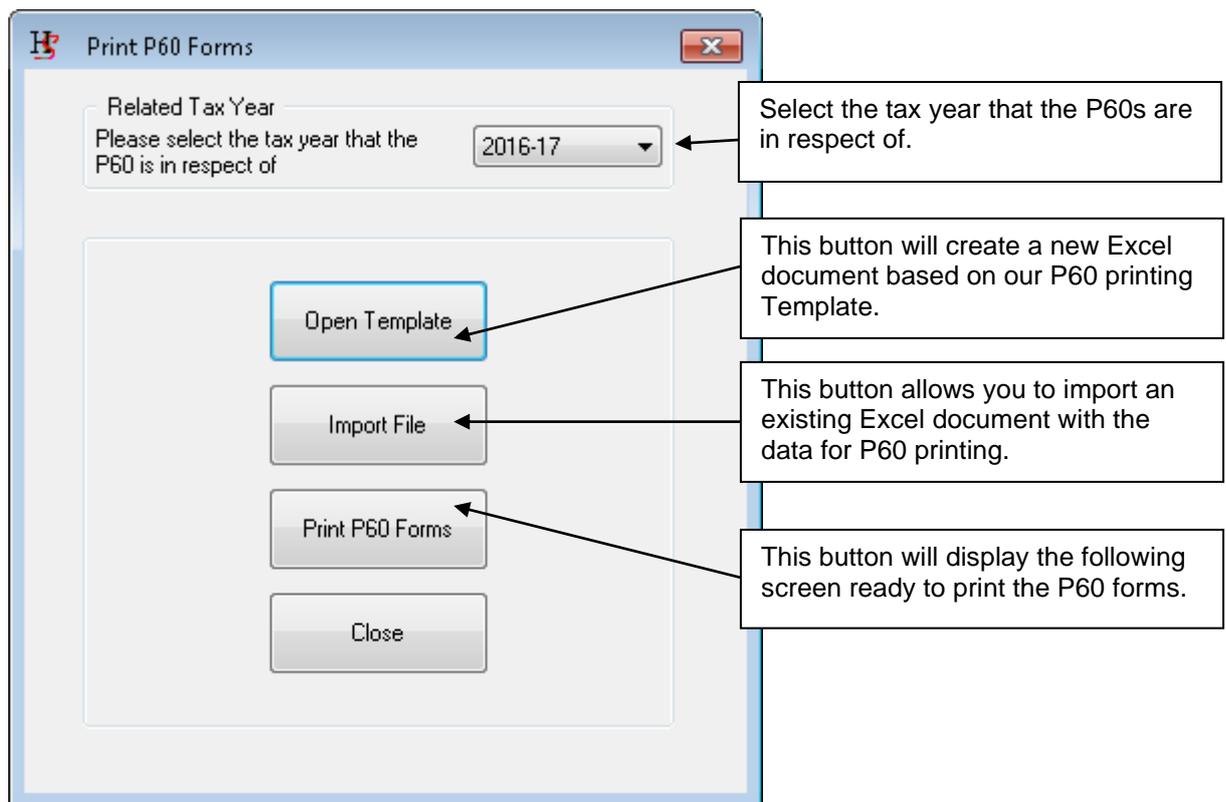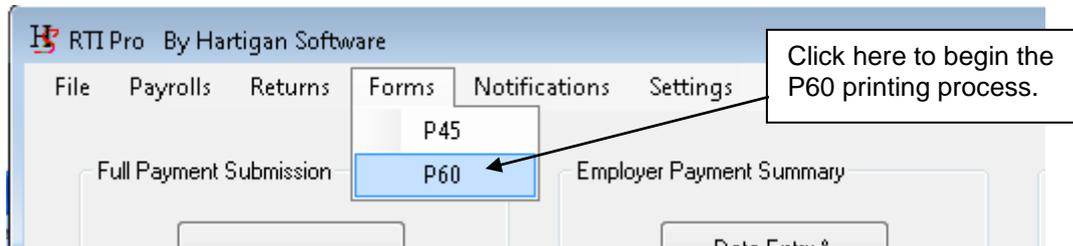
.The following screen is displayed when the [Print P60 Forms] button is pressed:
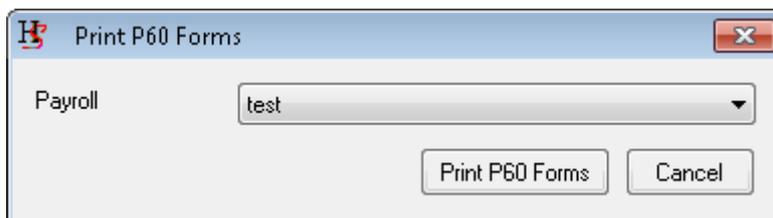
Select the payroll from the drop down box and press the [Print P60 Forms] button.

P45 Printing

P45s are printed on either plain paper or using the pre-printed P45 (Laser Sheet) - 3 part stationery. The can be ordered online from the HMRC website via the following link:

http://www.hmrc.gov.uk/payerti/forms-updates/forms-publications/onlineorder.htm#1x1

The type of paper to be used for printing the P45 can be selected be pressing the [Printing Options] button at the bottom of the Setting screen.

Select the type of paper to be used from these options
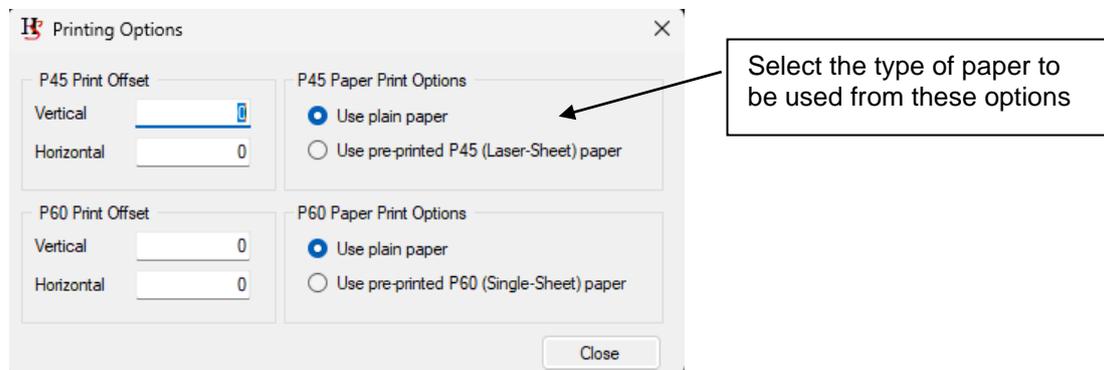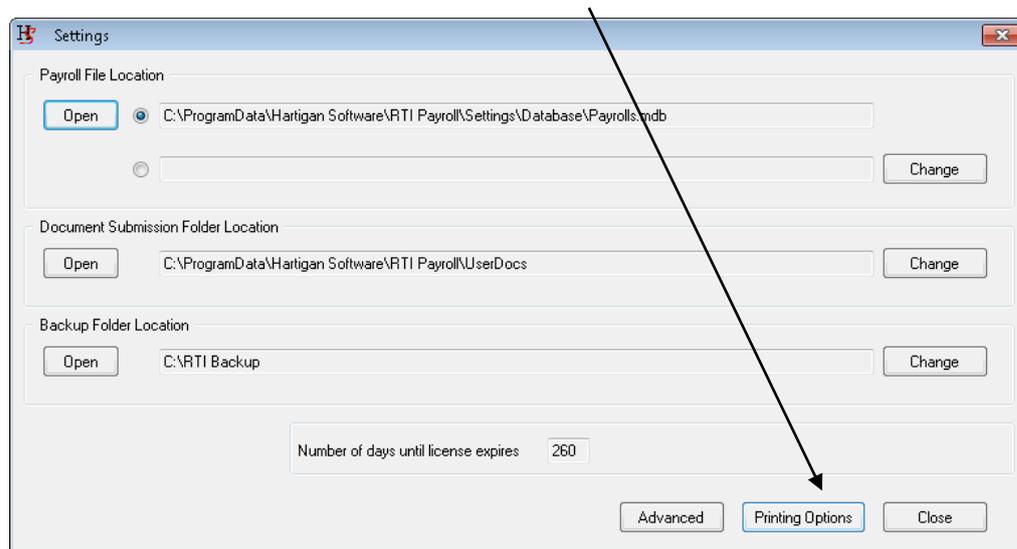
If printing on pre-printed P45 paper, the printing coordinates might need to be updated so that they are aligned with the pre-printed boxes.

P45 Printing

Click here to begin the P45 printing process.

This button will create a new Excel document based on our P45 printing Template.

This button allows you to import an existing Excel document with the data for P45 printing.

This button will display the following screen ready to print the P45 forms.
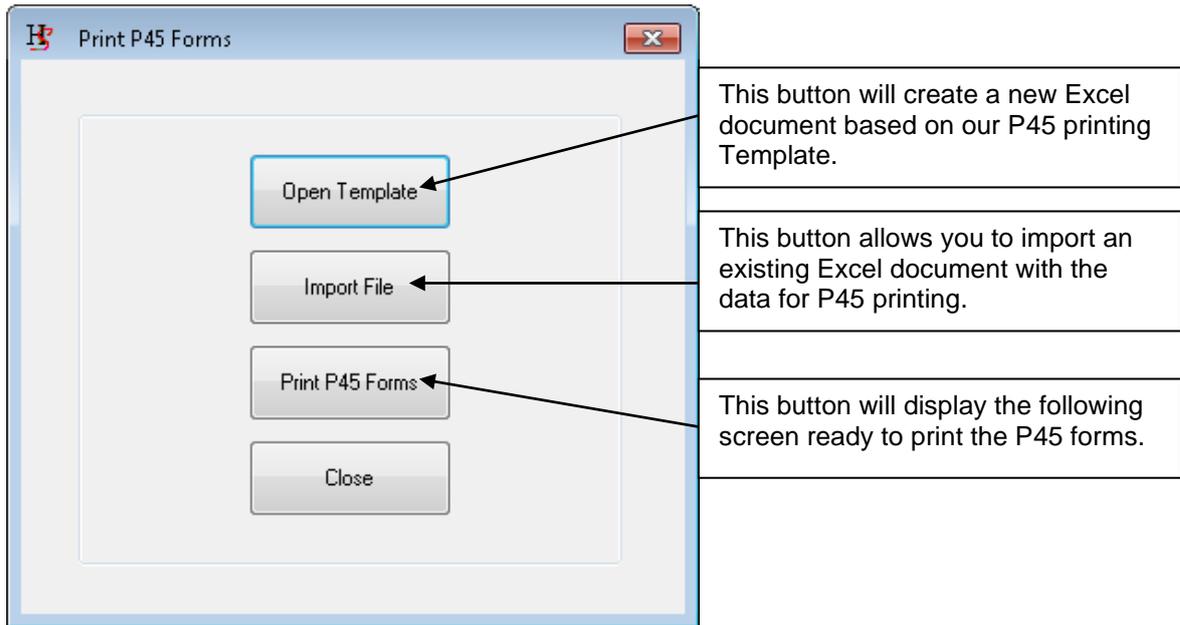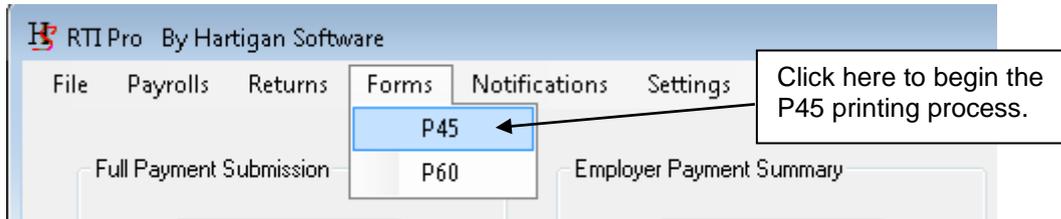
The following screen is displayed when the [Print P45 Forms] button is pressed:
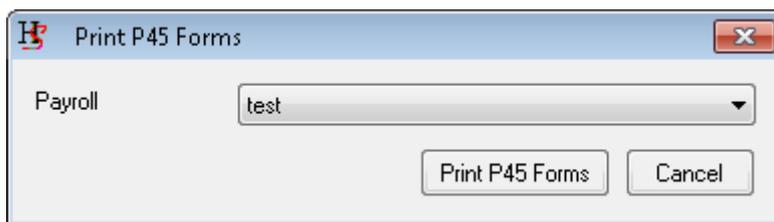
Select the payroll from the drop down box and press the [Print P45 Forms] button.

Setting up NEST Employer Records
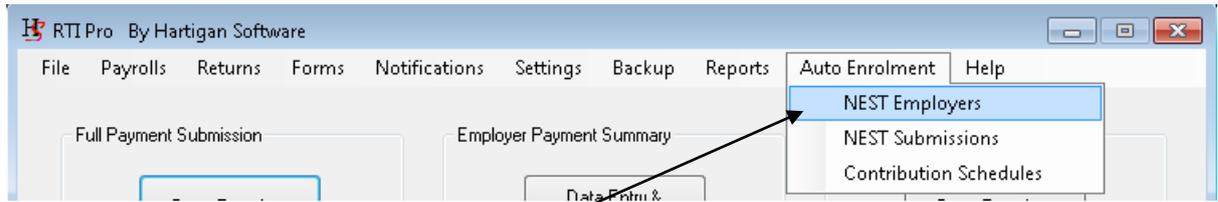
Click the [Auto Enrolment / NEST Employers] menu. The following screen is displayed:

Enter all or part of the Organisation Name or NEST Employer Ref in the boxes on the left and press the [Find] button to search for a record or filter the list.

This is the unique employer identifier given to you by NEST when setting up your employer record. It is 12 characters is displayed on most screens when you are logged into your NEST account. E.G. EMP123456789. The reference is case sensitive so make sure that you use capital letters where required – 'EMP' not 'emp'.
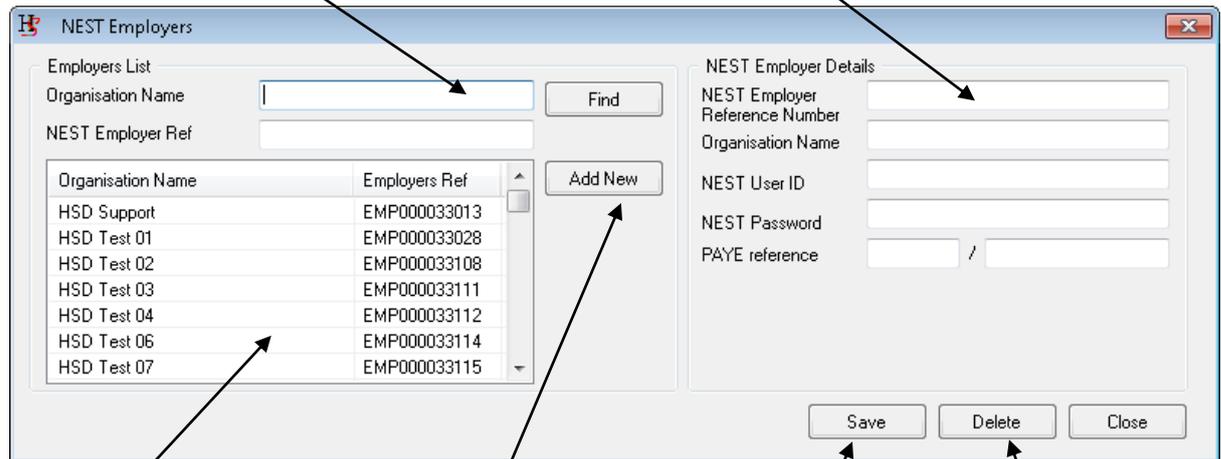
This list will contain the names of all NEST employer records previously entered. Click the name to load the selected record.

Click [Add New] to clear currently displayed data from the right hand side of the window and enter new a new NEST employer record.

Click [Save] to save the selected record.

Click [Delete] to delete the selected record.

Click [Add New] and enter the information on the right hand side of the screen. Click [Save] to save the information entered. Continue until all required NEST employer records have been set up.

Enrol Workers into NEST
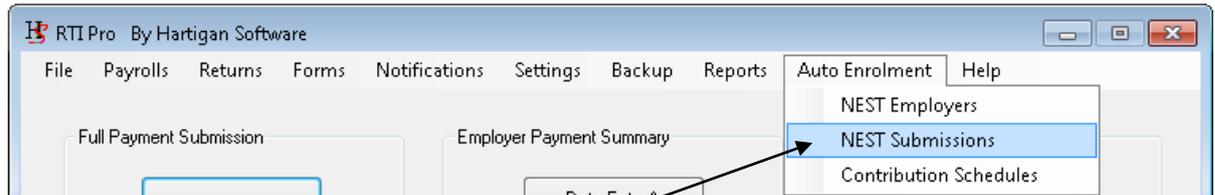
Click the [Auto Enrolment / NEST Submissions] menu. The following screen is displayed:
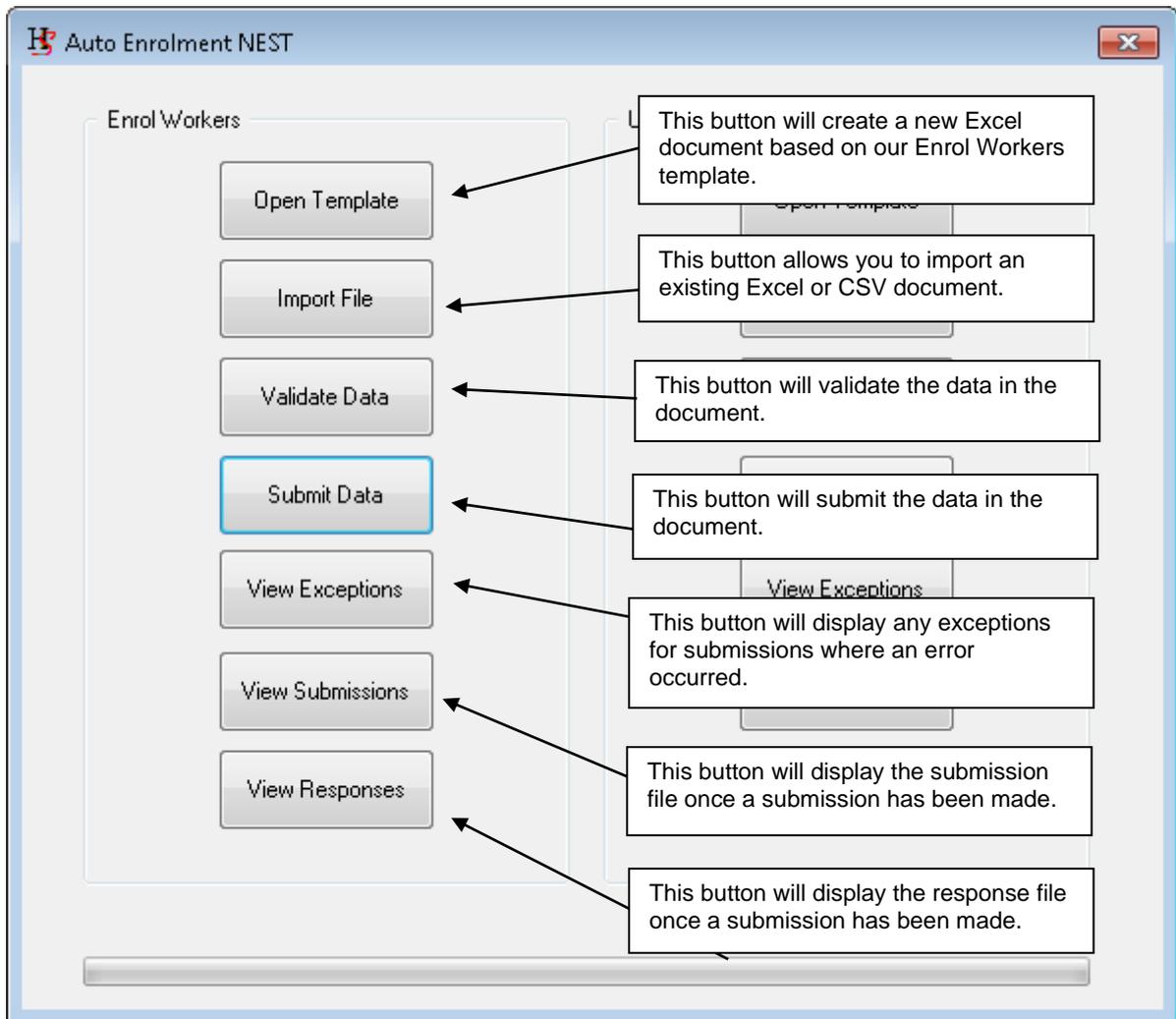
Workers can be enrolled for more than one employer in a single import file.

Please refer to the NEST Import File Guide document for details on the fields that need to be populated in the Enrol Workers template.

Please refer to the Submitting the NEST files section for further details of the submission process.

Update NEST Contribution Schedules
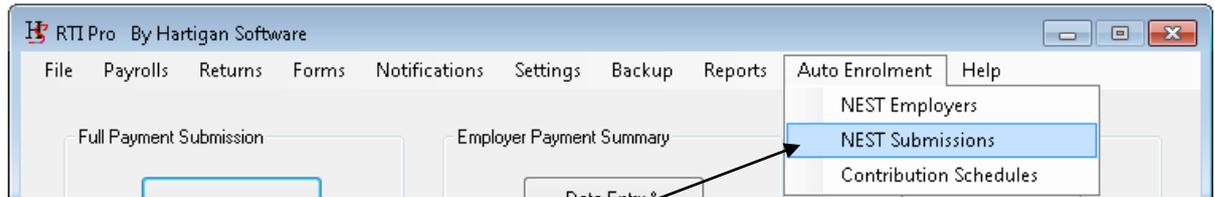
Click the [Auto Enrolment / NEST Submissions] menu. The following screen is displayed:
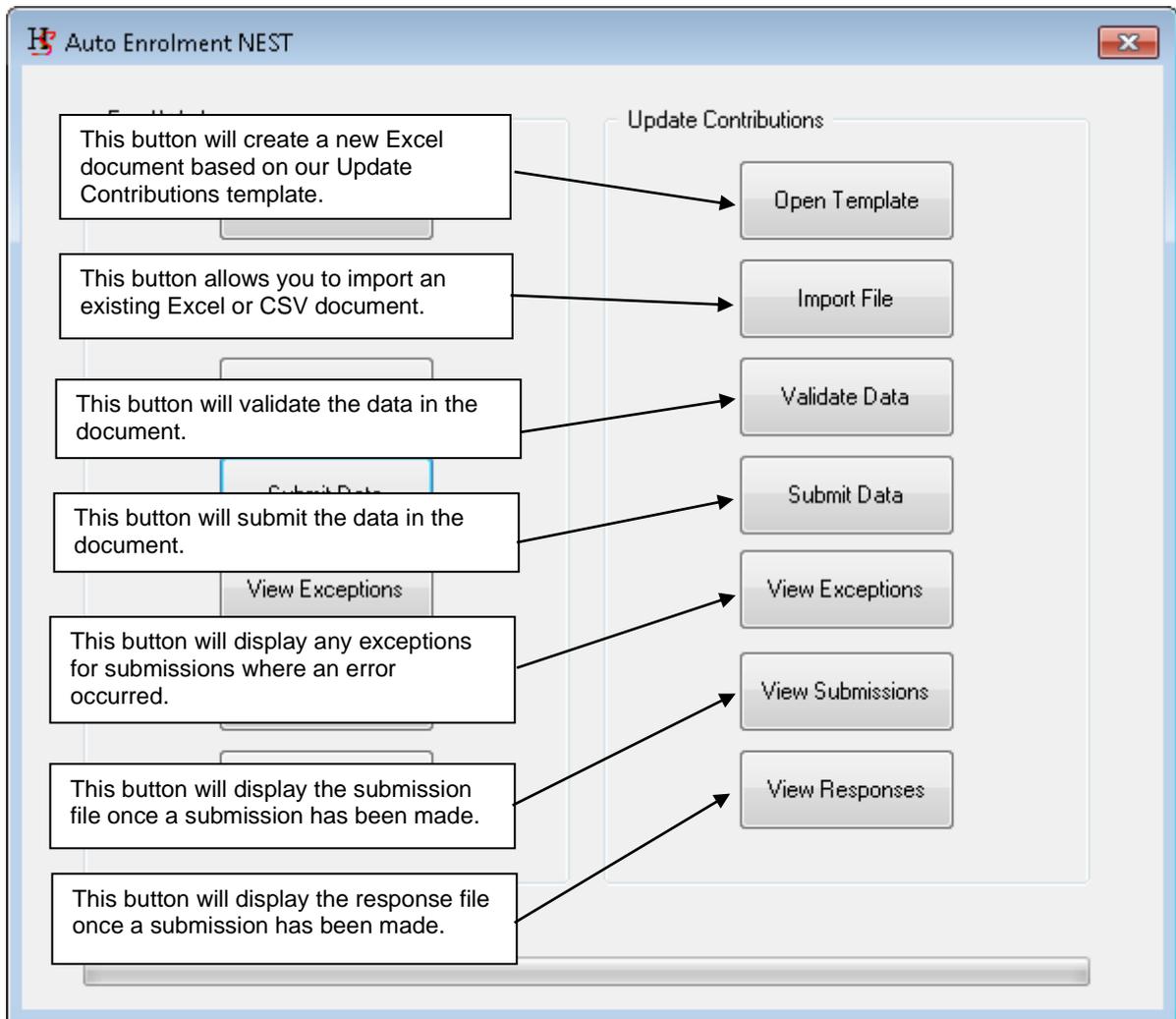
Contribution schedules can be updated for more than one employer in a single import file.

Please refer to the NEST Import File Guide document for details on the fields that need to be populated in the Update Contributions template.

Please refer to the Submitting the NEST files section for further details of the submission process.

Approve NEST Contribution Schedules
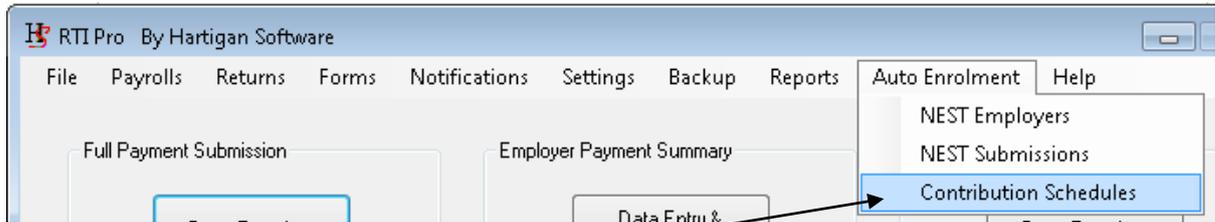
Click the [Auto Enrolment / Contribution Schedules] menu. The following screen is displayed:
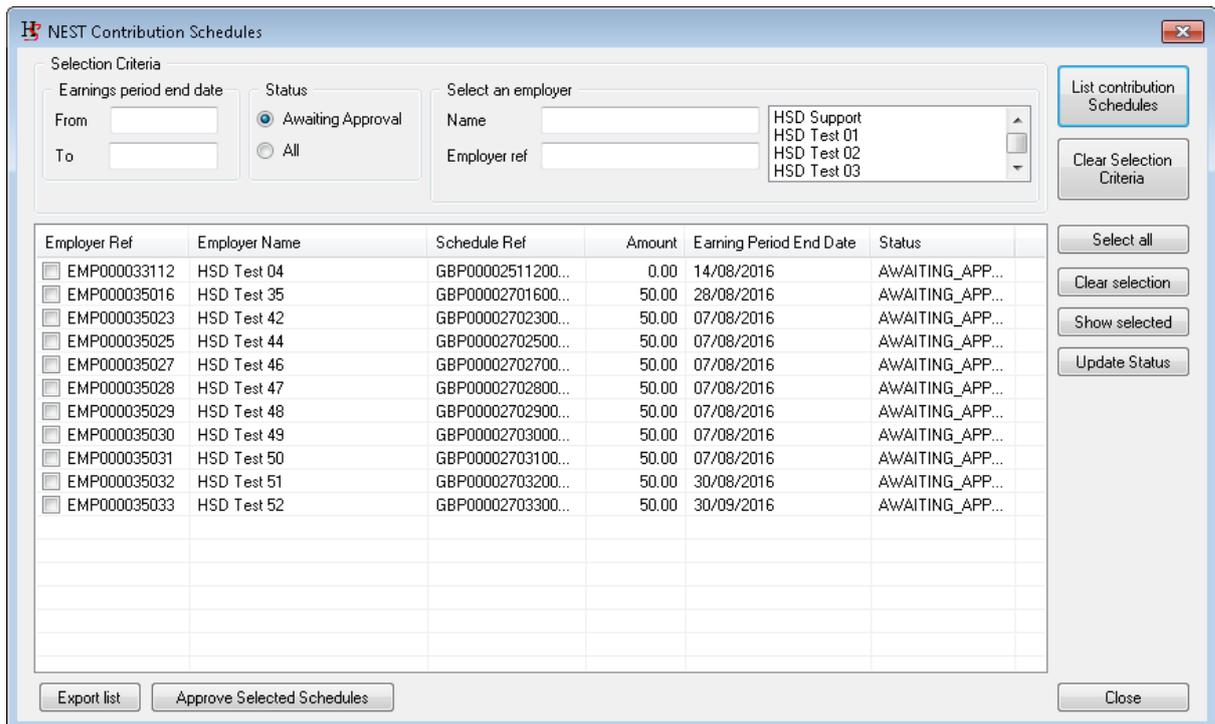
Enter the selection criteria to list the contribution schedules. The default is to list all contribution schedules for all employers that are awaiting approval.

Either select the contribution schedule by ticking the box in the list or press the [Select All] button.

Press the [Approve Selected Schedules] button to begin the submission to NEST. Please refer to the Submitting the NEST files section for further details of the submission process.

The status of the Contribution Schedules can be updated manually by clicking on an item in the list and pressing [Update Status] button. This process is primarily for housekeeping purposes and can be utilised if the contribution schedule has been approved directly on the NEST website or if it was created in error. Please note that this will only update the status of the contribution schedule in the submission software and not on the NEST website.

Submitting the NEST Files

The following screen is displayed when the files are being submitted to NEST:
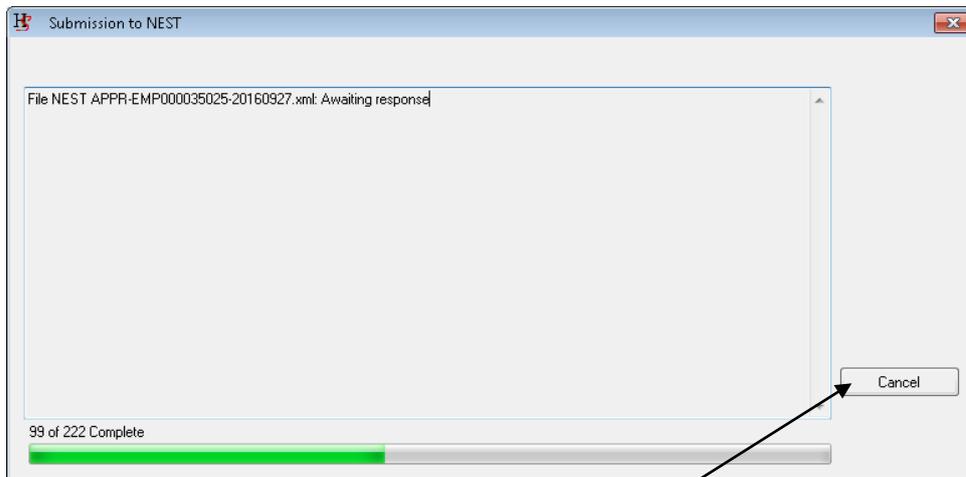
The process can be cancelled by pressing the [Cancel] button.

The progress bar on the bottom of the screen will provide an update on the progress of the batch as a whole and will advise if there are any errors.

The screen will update to display a list of submissions when the submission process is complete:

This button will display the exceptions for all submissions where an error occurred.
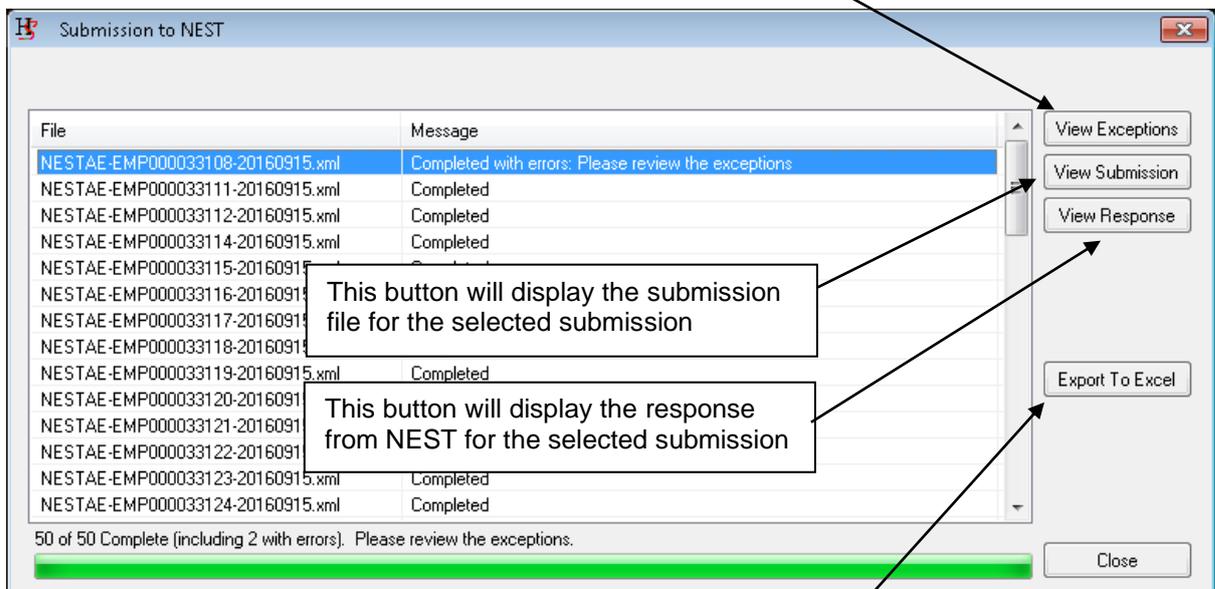
This button will display the submission file for the selected submission

This button will display the response from NEST for the selected submission

This button will export the items in the list to Excel for further analysis.

Submitting the NEST Files

Clicking the [View Exceptions] button will list the exceptions for all submissions where an error occured. See the following screen shot for an example of this:

The list can be exported to Excel for further analysis.

Unattended Full Payment Submissions

The unattended submission process will run the entire FPS process once the file has been imported and the payroll has been selected. Further user intervention is not required to validate and submit the file. The setting can be switched on and off via the [Advanced Settings] screen:
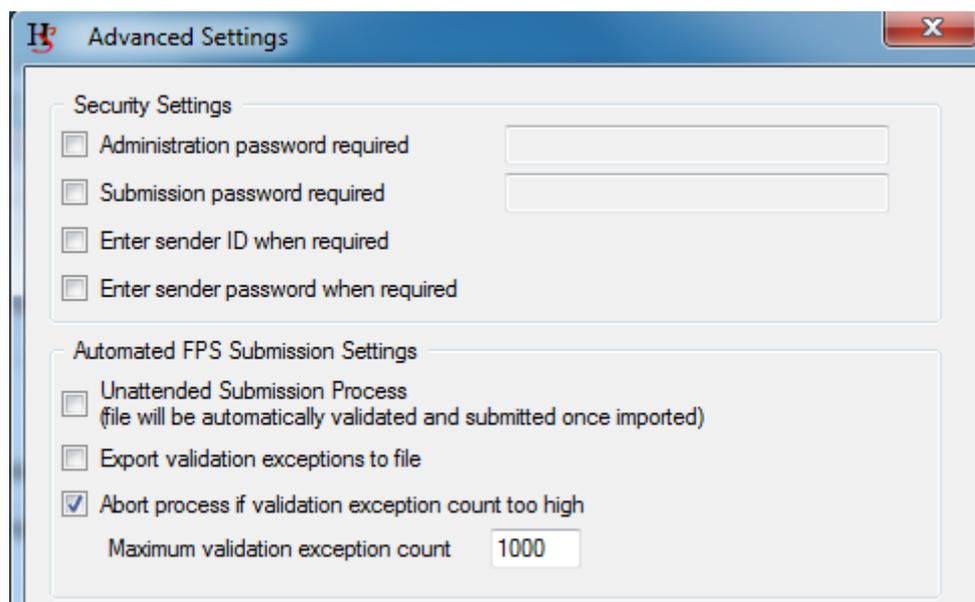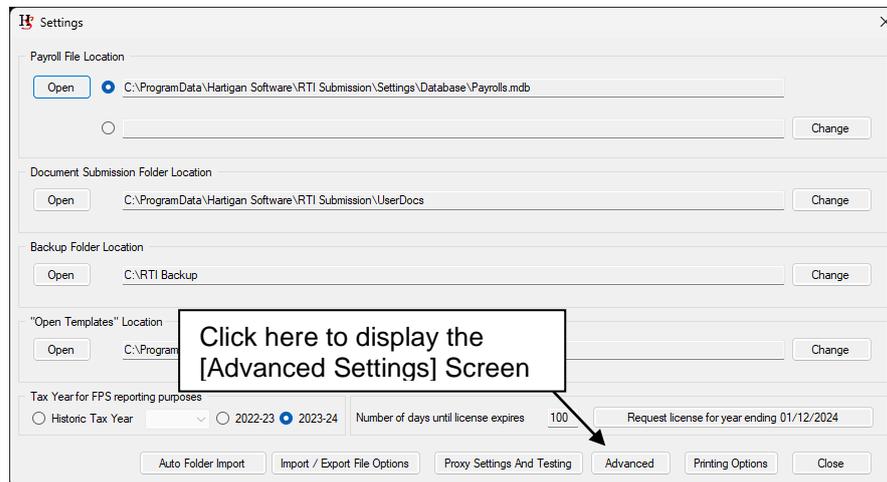
The [Export validation exceptions to file] option will save the Full Payment Submission validation exceptions in a CSV file instead of displaying them on the screen. The file path can be set in the [Import / Export File Options] screen.

The Full Payment Submission validation process can be set up so that it aborts when a specified number of validation exceptions occur.   This can be useful to quickly identify if there is something fundamentally wrong with the data rather than waiting until the entire file has been validated. This setting can be switched on and off via the [Abort process if validation exception count too high] check box and setting the maximum validation exception count in the box below.

Multiple Payroll/Employer Full Payment Submissions

The Full Payment Submission Excel template includes a [PAYE Ref] column which, when enabled, automates payroll selection. This option has been made available to improve the submission processing of multiple payrolls/employers but can also be used to automatically select the payroll when single payrolls/employer submissions are made.

In order to utilise the [PAYE Ref] column on the import spreadsheet, it should be populated in the format 999/XXX where 999 is the HMRC Office number and XXX is the Employer reference number. In addition to this, the [Use PAYE Ref from import spreadsheet] option should be selected on the [Import / Export File Options] screen:
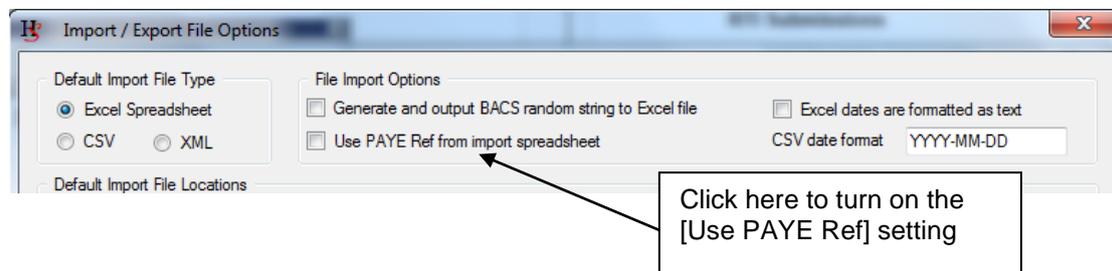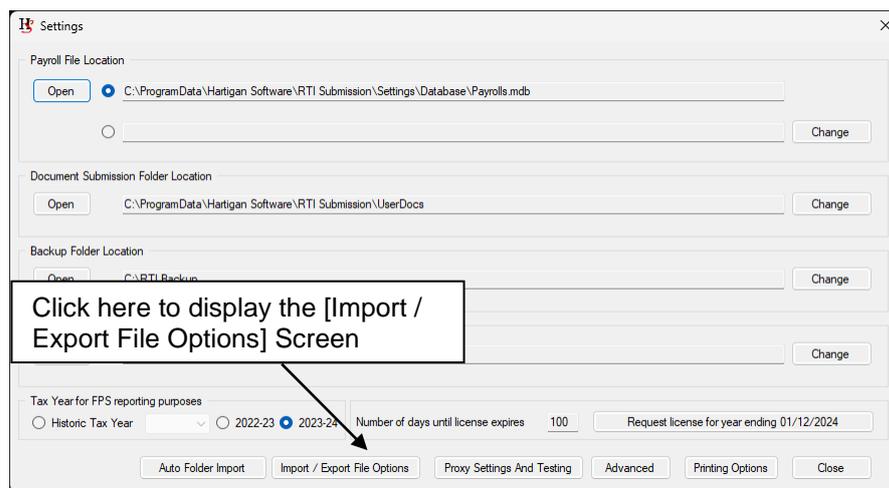
The default option is to submit the returns concurrently; however, the software is able to submit the returns individually in succession or in batches to improve submission times and reduce the work load of the application. See the Bulk Submission Settings page for further details.

Multiple Payroll/Employer Full Payment Submissions

When the import spreadsheet includes more than one different PAYE Reference, the following screen is displayed when the [Submit Data] button is pressed from the main screen:

The Payrolls to be submitted can be selected from the list by ticking the box next to the PAYE Ref. Alternatively, the [Select All] button can be clicked to select all of the payrolls in the list.

Once the payrolls have been selected, the FPS(s) should be generated, viewed, and submitted as normal.

Please note that if either of the [Final Submission] options are selected, they will be applied to all of the selected payrolls in the list.

The following screen will be displayed when submitting more than one Payroll:

The receipt for each of the submissions can be viewed by selecting the item in the list and pressing the [View Receipt] button.

Split Large FPS Files into Smaller Submissions

Large FPS Files can be split into smaller submissions to reduce the risk of exceeding the Government Gateway size limit, improve submission times, and reduce the work load of the application.

This setting can be switched on and off and the number of records per file can be set on the [Advanced Settings] screen:
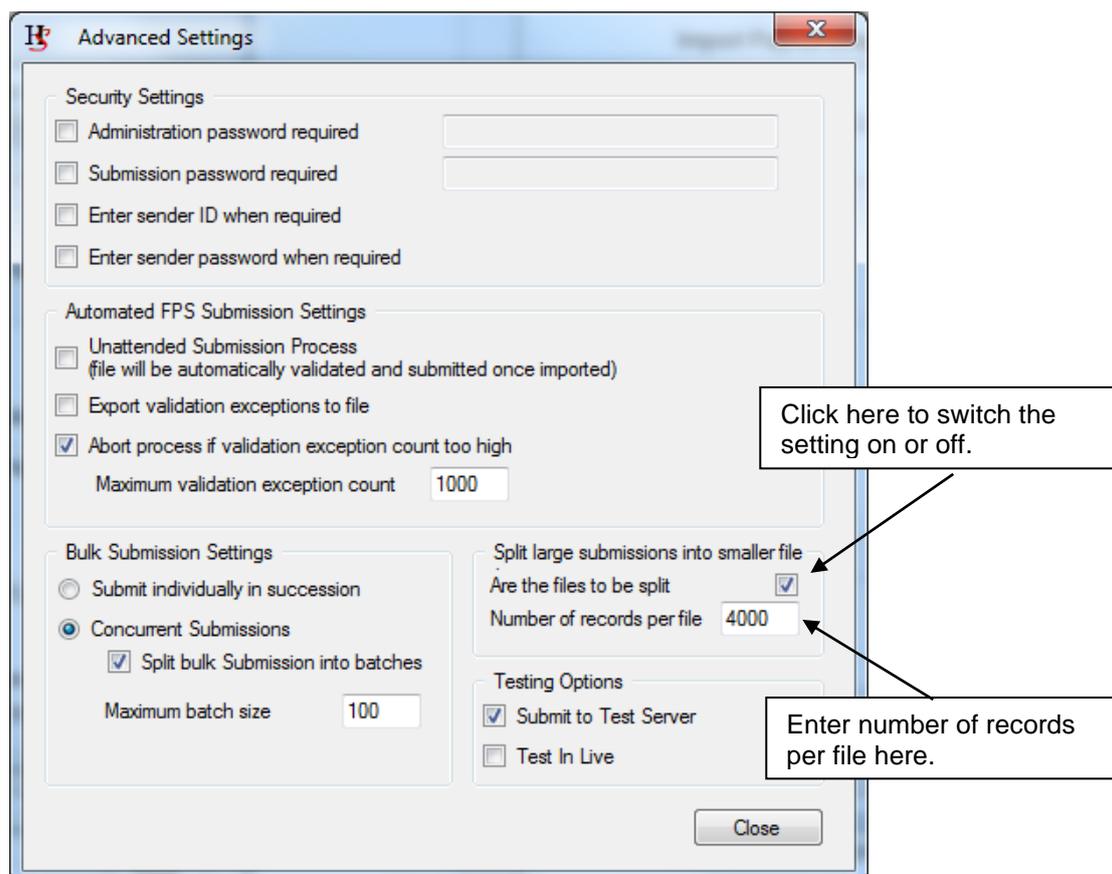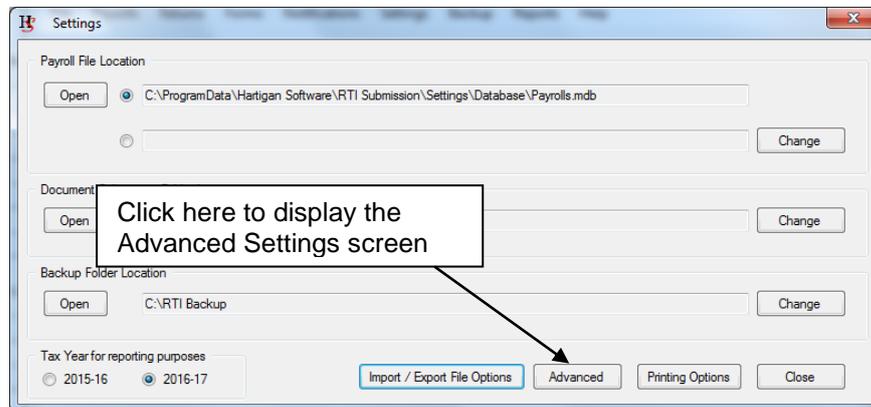
The default option is to submit the returns concurrently; however, the software is able to submit the returns individually in succession or in batches to improve submission times and reduce the work load of the application. See the Bulk Submission Settings page for further details.

Bulk Submission Settings

The Bulk Submission settings refer to when more than one return is submitted as part of a single process. This setting can be found on the Advanced Settings screen via the [Advanced] button at the bottom of the Settings Screen.
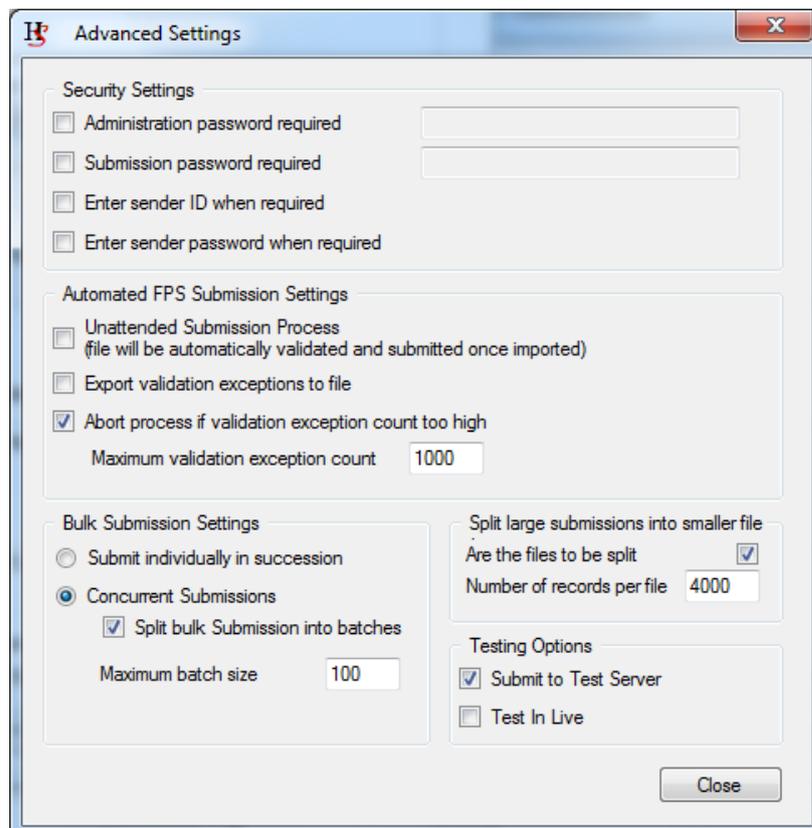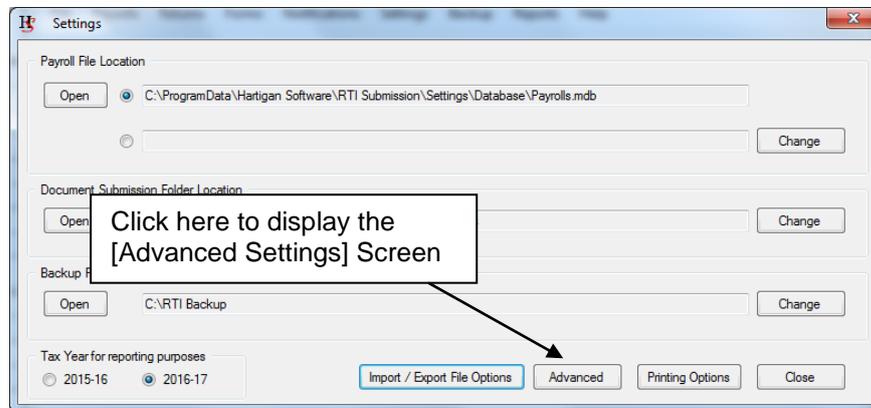
The default option is to submit the bulk returns concurrently.

The [maximum batch size] setting can be used to restrict the number of concurrent submissions by batching the submissions together into manageable numbers. Once a batch of submissions has completed, the next batch will be submitted. The purpose of this setting is to improve submission times and reduce the work load of the application.

The [Submit Individually in Succession] setting will only submit one file at a time and can be used to minimise the internet traffic and reduce the work load of the application.

Bulk EPS Submissions

EPS data can be imported and submitted in bulk from an Excel or CSV file.
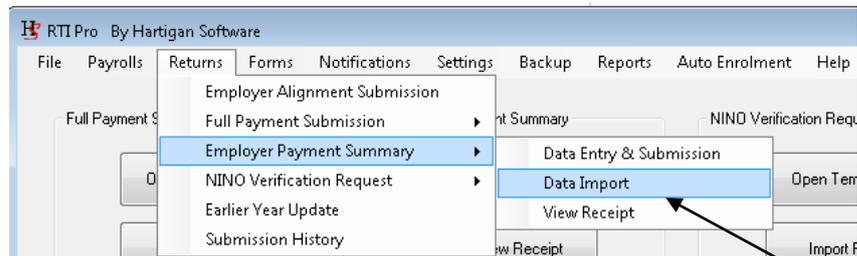
Select the [Returns / Employer Payment Summary / Data Import] menu from the application front screen to begin the process.

Alternatively, press the [Import Excel/CVS File] button at the bottom of the [Employer Payment Summary] data entry screen:

The following screen will be displayed:

Bulk EPS Submissions

This button will create a new Excel document based on our EPS Template.

This button allows you to import an existing Excel or CSV document.

This button will validate the data in the Excel or CSV document.

This button will submit the data in the Excel or CSV document.

This button will display the receipt for a successfully submitted file.
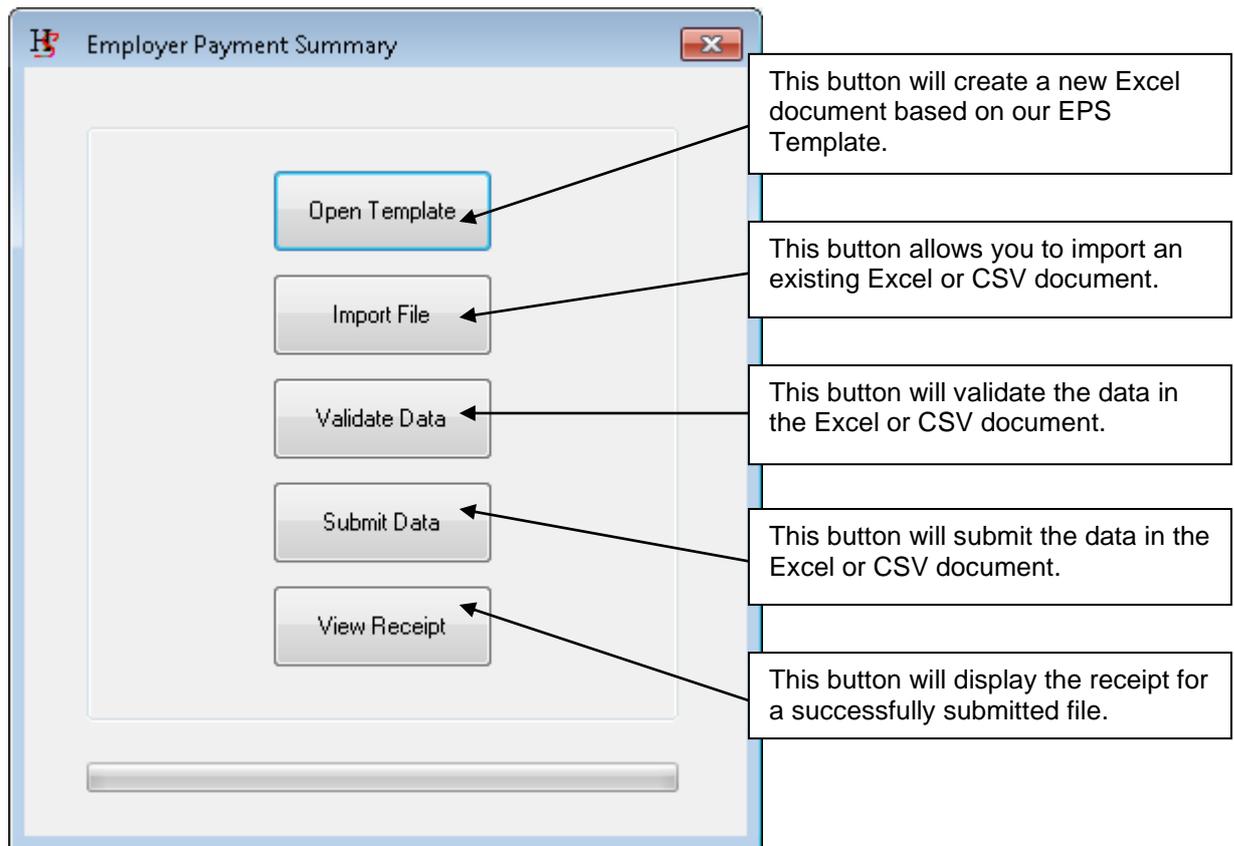
The following screen is displayed when the [Submit Data] button is pressed:
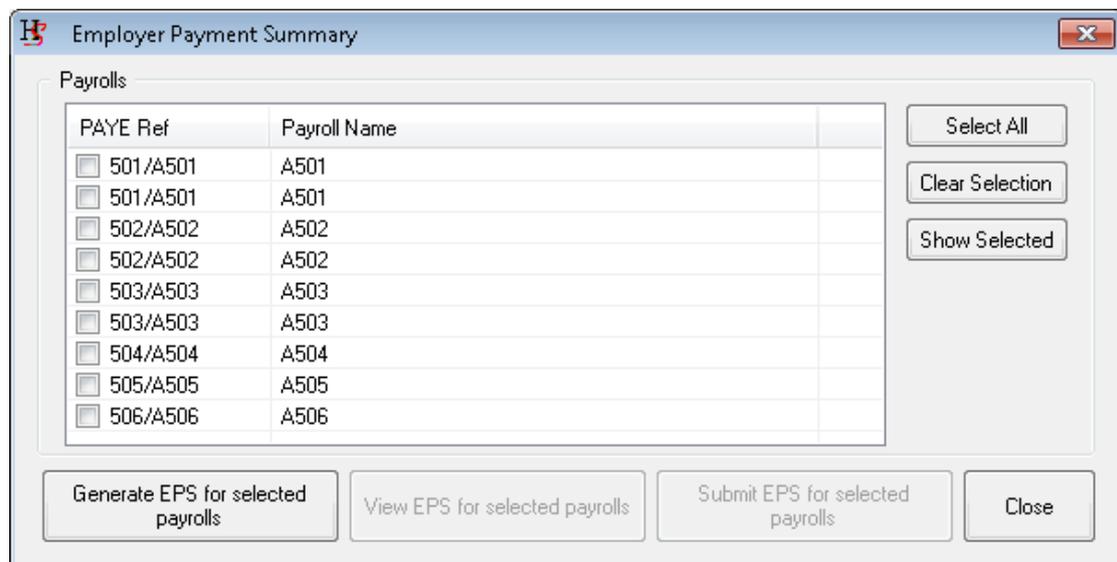
The Payrolls to be submitted can be selected from the list by ticking the box next to the PAYE Ref. Alternatively, the [Select All] button can be clicked to select all of the payrolls in the list.

Once the payrolls have been selected, the EPS(s) should be generated, viewed, and submitted in the normal way.

The following screen will be displayed when submitting the EPS files:

Bulk EPS Submissions
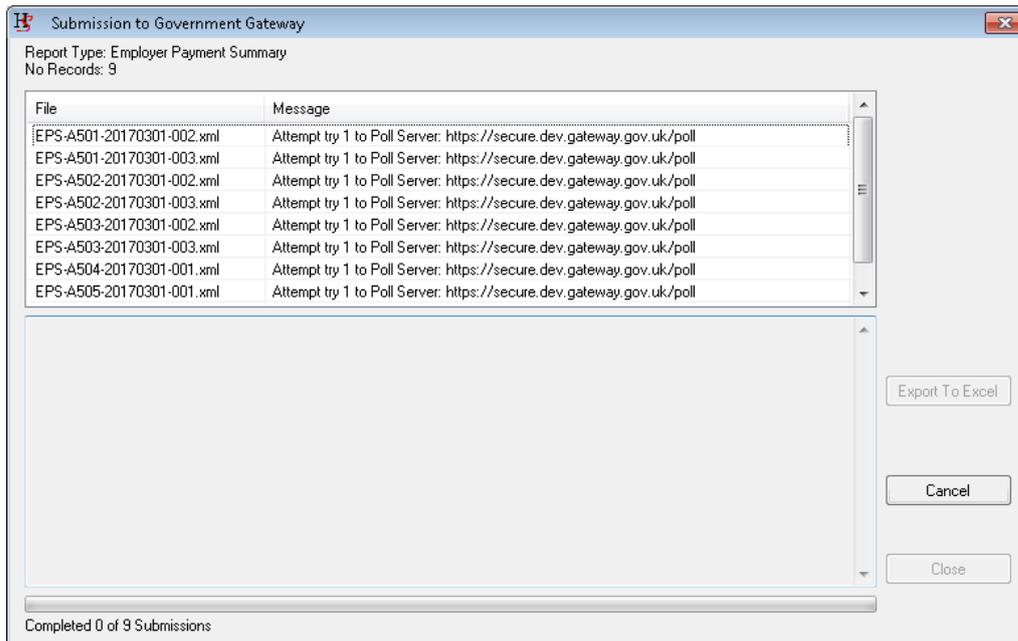
The default option is to submit the returns concurrently, however the software is able to submit the returns individually in succession or in batches to improve submission times and reduce the work load of the application. See the Bulk Submission Settings page for further details.

The [Cancel] button will cancel the complete process for all files not yet submitted. Any files already submitted will not be cancelled but the process will not submit any further files.

If a response is not received from the Government Gateway, the [Request Response from Gateway] button can be pressed to poll for the response again.

Auto Generate EPS for Period of Inactivity

EPS returns can be automatically generated for payroll references that have not made Full Payment Submissions for a particular tax month.

Select the [Reports / Period of Inactivity] menu option to begin the process
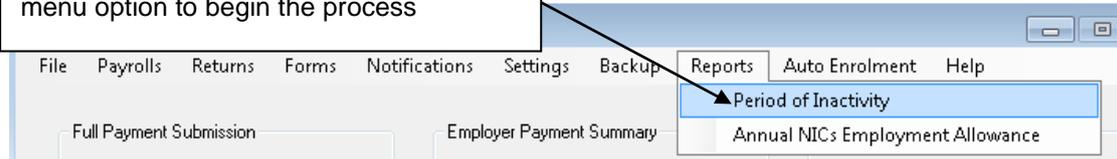
The following screen will be displayed. Enter the Tax month end date for the reporting period and press the [List inactive payroll schemes] button. All payrolls **without** Full Payment Submissions in the period will be listed
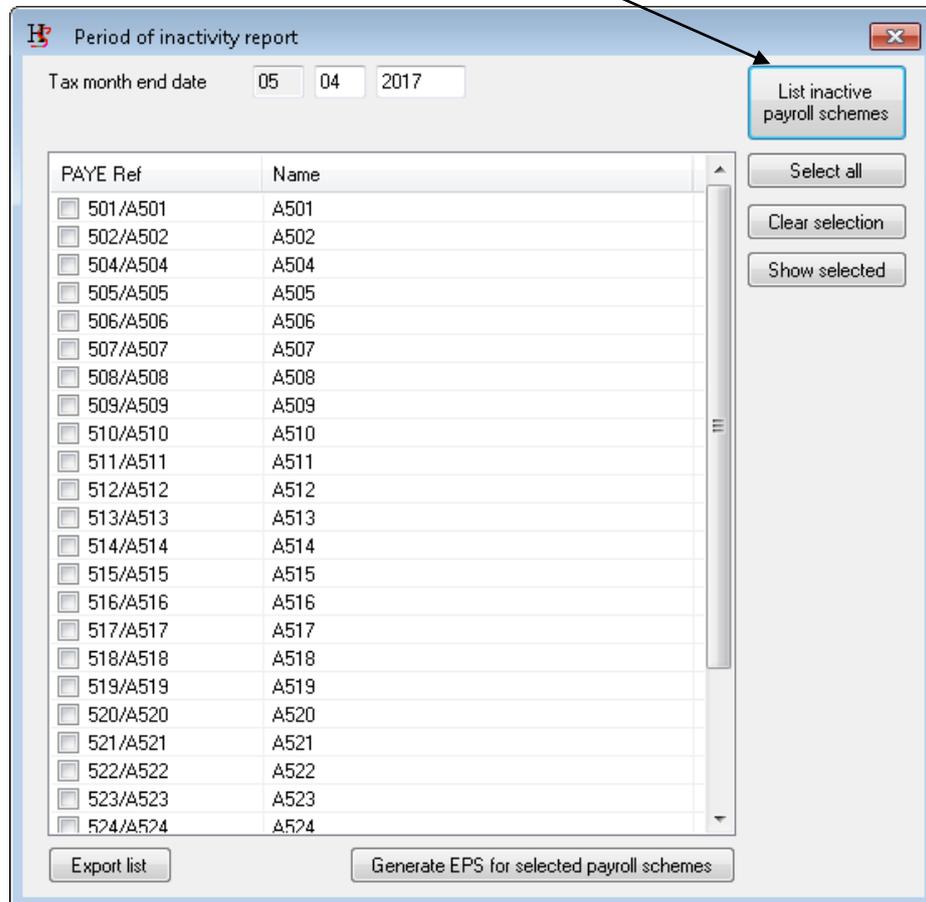
The Payrolls to be submitted can be selected from the list by ticking the box next to the PAYE Ref. Alternatively, the [Select All] button can be clicked to select all of the payrolls in the list.

Press the [Generate EPS for selected payroll schemes] button.

The following screen will be displayed:

Auto Generate EPS for Period of Inactivity
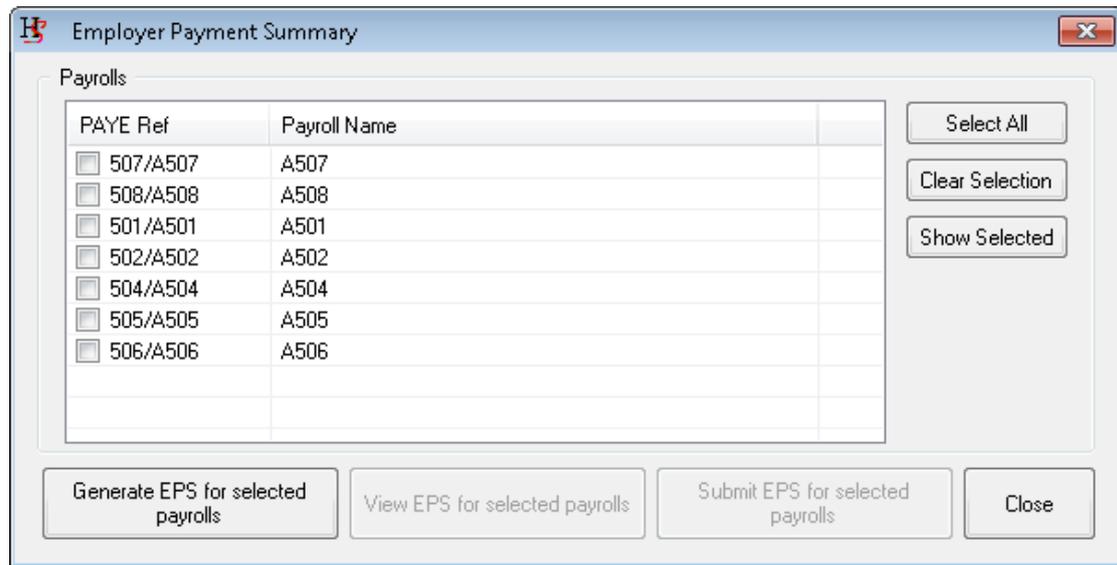
Press the [Select All], [Generate EPS for selected payrolls], and [Submit EPS for selected payrolls] buttons.

The following screen will be displayed when submitting the EPS files:
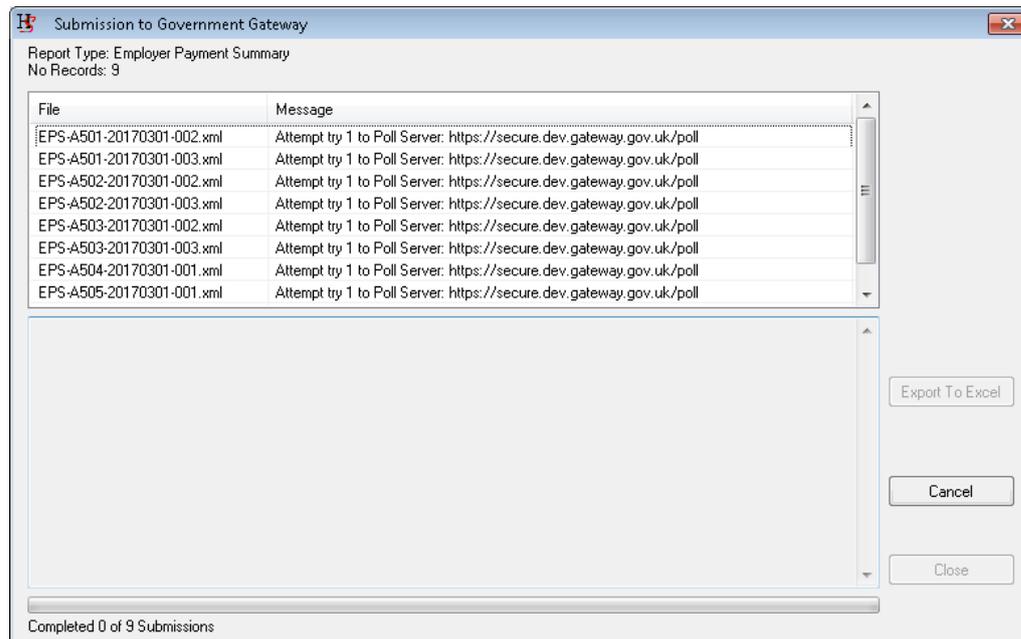
The default option is to submit the returns concurrently, however the software is able to submit the returns individually in succession or in batches to improve submission times and reduce the work load of the application. See the Bulk Submission Settings page for further details.

The [Cancel] button will cancel the complete process for all files not yet submitted. Any files already submitted will not be cancelled but the process will not submit any further files.

If a response is not received from the Government Gateway, the [Request Response from Gateway] button can be pressed to poll for the response again:

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.

Select the location of the backup files by pressing this button.

Open the backup folder by pressing this button.
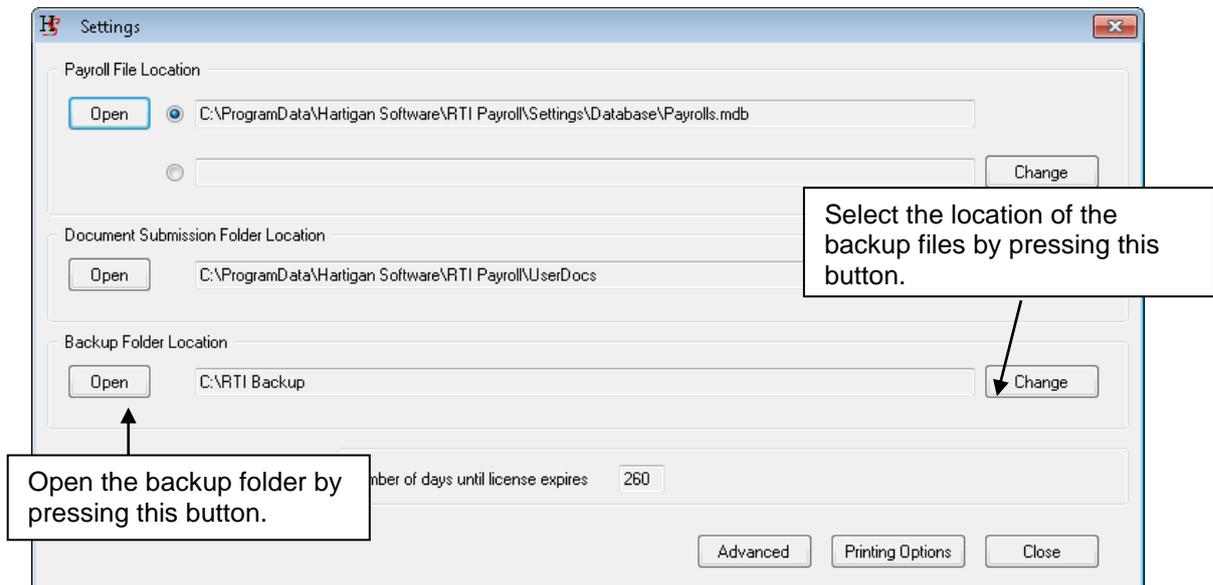
Backup copies of your payroll data and submission files can be made by pressing the [Backup] menu at the top of the main screen.

Click here to backup your files

Press the [OK] button to confirm.
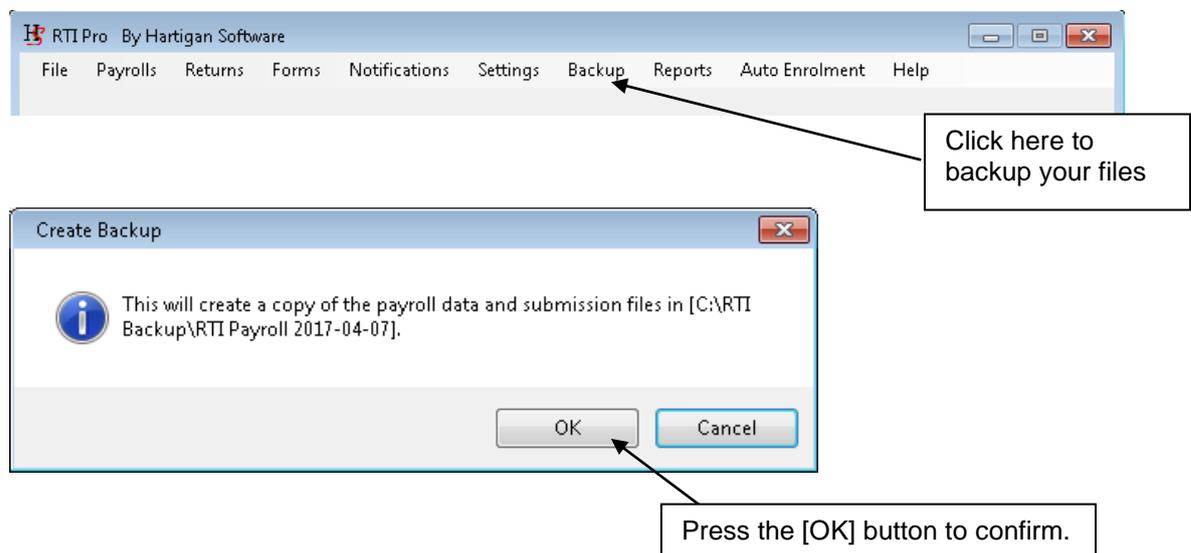
Restore Data and Submission File from Backup

Please note that this process will overwrite your current files and it is therefore recommended that you back up your current files before proceeding.
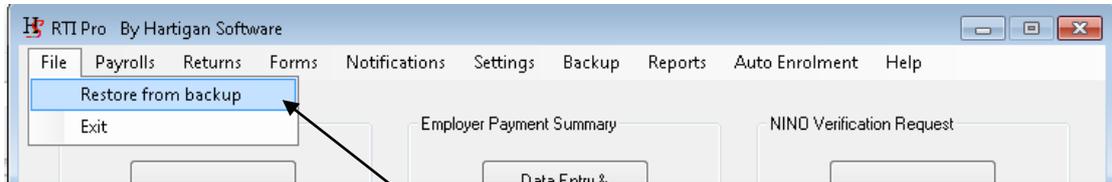
Click here to restore your files from a previously taken backup.

Click here to select the location of the backup files that you wish to restore.
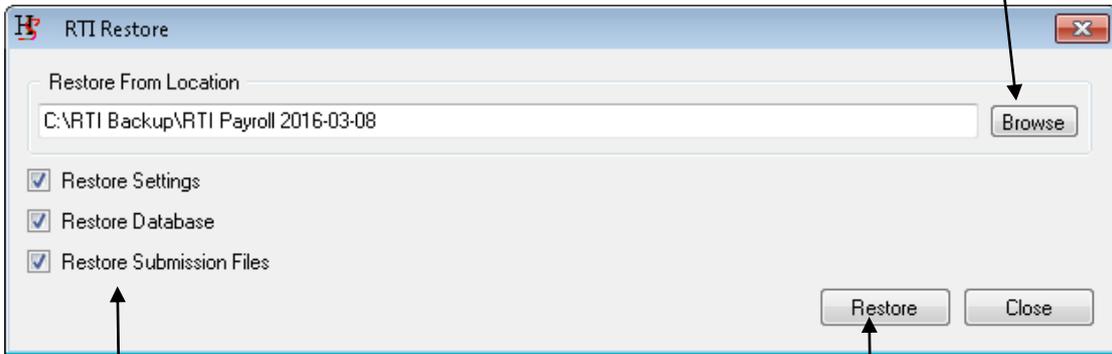
Select the files that you wish to restore.

Click here to restore the files.