

Self Assessment 2008/09 Non-Form Validation Rules

Introduction

This document outlines the rules that apply to Self Assessment XML messages that are not derived from the Tax Return itself.

This document has two sections one for each category of rules. These are:

- **Submission Rules** that relate to the structure required to submit the XML to HMRC and provide the information needed to make successful submissions for SA.
- **Online Validation Rules** that document the rules that fall outside of the Rules and Interface Management machine readable rules for SA.

Changes – v1.0 to v2.0

- *Element/attribute: IRenvelope/@xmlns – Updated to reflect 2008/09 the latest namespace. (From artefacts published in the Self Assessment technical pack on 28 January 2009)*
- *Information on the use of Box 1A <ChargeableEventGains> and related error messages added.*

Changes from 2007/08 Non-Form Validation Rules Version 1.0

Submission Rules

- *Element/attribute: IRenvelope/@xmlns – Updated to reflect 2008/09 namespace.*

Non Form Validation Rules

- *Maximum file attachment size – Clarification added on attachment size limit.*
- *UTR not found on Known Facts – Additional content in error message.*

Submission Rules

GovTalkHeader

element:	EnvelopeVersion
path	/GovTalkMessage/EnvelopeVersion
cardinality	1..1
description	Must be set to 2.0

element:	Class
path	/GovTalkMessage/Header/MessageDetails/Class
cardinality	1..1
description	The class used by the Gateway to determine the content of the submission.
documentation	<p>Use the appropriate <Class> for Self Assessment as shown below:</p> <p>Returns without Attachments</p> <ol style="list-style-type: none"> 1. Must be set to HMRC-SA-SA100 for Individual Returns. 2. Must be set to HMRC-SA-SA800 for Partnership Returns. 3. Must be set to HMRC-SA-SA900 for Trust Returns. <p>Returns without Attachments -Test in Live</p> <ol style="list-style-type: none"> 1. Must be set to HMRC-SA-SA100-TIL for Individual 'Test in Live' Returns. 2. Must be set to HMRC-SA-SA800-TIL for Partnership 'Test in Live' Returns. 3. Must be set to HMRC-SA-SA900-TIL for Trust 'Test in Live' Returns. <p>Returns with Attachments</p> <ol style="list-style-type: none"> 1. Must be set to HMRC-SA-SA100-ATT for Individual Returns. 2. Must be set to HMRC-SA-SA800-ATT for Partnership Returns. 3. Must be set to HMRC-SA-SA900-ATT for Trust Returns. <p>Returns with Attachments - Test in Live</p> <ol style="list-style-type: none"> 1. Must be set to HMRC-SA-SA100-ATT-TIL for Individual 'Test in Live' Returns. 2. Must be set to HMRC-SA-SA800-ATT-TIL for Partnership 'Test in Live' Returns. 3. Must be set to HMRC-SA-SA900-ATT-TIL for Trust 'Test in Live' Returns.
example	HMRC-SA-SA100

element:	GatewayTest
path	/GovTalkMessage/Header/MessageDetails/GatewayTest
cardinality	0..1
documentation	<p>Should be absent or set to 0 for submissions to the live Gateway. Should be present and set to 1 for submissions to VSIPS. This applies for all messages to the Gateway including submit_poll and delete_request.</p>

element:	GatewayTimestamp
path	/GovTalkMessage/Header/MessageDetails/GatewayTimestamp
cardinality	0..1
description	If present in the submit_request message the element should be sent empty.
documentation	HMRC recommend that this be absent in the submit_request xml.

element:	SenderID
path	/GovTalkMessage/Header/SenderDetails/IDAuthentication/SenderID
cardinality	1..1
documentation	<p>SenderID supplied by SDS team for VSIPS testing. Live submissions must contain a genuine SenderID (also known as User ID).</p>

element:	Role
path	/GovTalkMessage/Header/SenderDetails/IDAuthentication/Authentication/Role
cardinality	0..1
description	Role for the authentication.
documentation	If present should contain principal .
example	principal

element:	Value
path	/GovTalkMessage/Header/SenderDetails/IDAuthentication/Authentication/Value
cardinality	1..1
documentation	Value supplied by SDS team for VSIPS testing. Live submissions must contain a genuine password.

element/attribute:	Key/@Type
path	/GovTalkMessage/GovTalkDetails/Keys/Key/@Type
cardinality	1..1
description	Must be in the format: <pre><Keys> <Key Type="UTR">NNNNNNNNNN</Key> </Keys></pre> Live submissions must contain a genuine UTR. The UTR in GovTalkDetails must match the UTR in the IRheader.

element:	Organisation
path	/GovTalkMessage/GovTalkDetails/TargetDetails/Organisation
cardinality	0..1
description	The organisation or department to which the submission is being sent.
documentation	If present should be set to HMRC .
example	HMRC

element:	URI
path	/GovTalkMessage/GovTalkDetails/ChannelRouting/Channel/URI
cardinality	1..1
description	Should contain a 4-digit vendor ID.
example	0123

element:	Product
path	/GovTalkMessage/GovTalkDetails/ChannelRouting/Channel/Product
cardinality	1..1
description	Should contain the name of the software product being used for submission.

element:	Version
path	/GovTalkMessage/GovTalkDetails/ChannelRouting/Channel/Version
cardinality	1..1
description	Should show the version number of the software product being used for submission.
example	1.0

element/attribute:	IRenvelope/@xmlns
path	/IRenvelope/@xmlns
cardinality	1..1
description	These are the SA specific namespaces: <ul style="list-style-type: none"> • Individual - http://www.govtalk.gov.uk/taxation/SA/SA100/08-09/3 • Partnership - http://www.govtalk.gov.uk/taxation/SA/SA800/08-09/1 • Trust - http://www.govtalk.gov.uk/taxation/SA/SA900/08-09/2
example	http://www.govtalk.gov.uk/taxation/SA/SA100/08-09/3
documentation	Note that the relevant namespace is only required within this element.

IRheader

element/attribute:	Key/@Type
path	/IRheader/Keys/Key/@Type
cardinality	1..1
description	Must be in the format: <pre><Keys> <Key Type="UTR">NNNNNNNNNN</Key> </Keys></pre> <p>Live submissions must contain a genuine UTR. The UTR in GovTalkDetails must match the UTR in the IRheader.</p>

element/attribute:	Manifest
path	/IRheader/Manifest
cardinality	0..1
description	Not required for SA submissions.

element/attribute:	IRmark
path	/IRheader/IRmark/@Type
cardinality	0..1
description	Must contain @Type=" generic "; Must contain a valid IRmark.
documentation	Mandatory for Individual, Partnership and Trust submissions.
error code: 2021	IRmark calculated by HMRC does not match the one supplied by the submitter.
error message	The supplied IRmark is incorrect.
Error returned in	TPVS and Live
error code: 2022	IRmark missing from return.
error message	IR Mark not found
Error returned in	TPVS and Live

element/attribute:	Sender
path	/IRheader/Sender
cardinality	1..1
description	Must include Individual, Company, Agent, Bureau, Partnership, Trust, Employer, Government, Acting in Capacity or Other to identify the type of submitter.
example	Individual
documentation	For SA submissions the most appropriate entries are Agent, Individual, Partnership and Trust .

Online Validation Rules

	Authentication failure
error code	5005
Location	/GovTalkMessage/GovTalkDetails/Keys/Key/@Type
Condition	The content of the <Keys> element found in the GovTalk header does not match the content of the <Keys> element in the Message body.
error message	Keys in the IR header must also exist in the GovTalk header with the same value.
Error returned in	TPVS and Live

	Maximum file attachment size exceeded
error code	5014
Location	.../AttachedFiles/Attachment
Condition	The maximum size (summed file size of ALL attachments) allowed is 5Mb before encoding.
error message	Your submission has not been accepted. The total file size of the attachment(s) must not exceed the maximum size limit of 5mb un-encoded. Please check.
Error returned in	TPVS and Live

	Duplicated Return
error code	5015
Location	Not Specified
Condition	An attempt is made to make a duplicate original Return.
error message	A submission for the user and tax year has already been successfully made. If amendment(s) are required you will need to make an amended submission.
Error returned in	Live only

	One or more attachments has a virus.
error code	5016
Location	.../AttachedFiles/Attachment@Filename
Condition	The attachment with file name <Filename> contains a virus.
error message	Your submission has not been accepted. The attachment with file name <Filename> contains a virus. Please check.
Error returned in	TPVS and Live

UTR not found on Known Facts	
error code	5017
Location	Not Specified
Condition	An attempt to file has been received for a Taxpayer who does not exist on Government Gateway known facts.
error message	Failed to match Tax Reference. Please contact the Online Services Helpdesk.
Error returned in	Live only

Validation Failure	
error code	5030
Location	Not specified
Condition	There has been a fatal error during processing.
error message	An error has occurred during filing which has prevented successful processing.
Error returned in	TPVS and Live

Period End	
error code	5050
Location	IRenvelope/MTR/PeriodEnd
Condition	Return can only be filed for either: <ul style="list-style-type: none"> a) The current tax return year (Tax year that ends on the fifth of April prior to the current date) or b) A previous tax return year <ol style="list-style-type: none"> 1. You can't submit an online return for any year earlier than 2007/08. 2. The years for which an online return can be submitted will build up to a maximum of (5 earlier years plus the current year). E.g. on 1/1/2014 the years available will be earlier years 2007/08 to 2011/12 & current tax return year 2012/13. 3. The time limit for accepting an earlier year's return online is (5 years and 10 months after the end of the tax year to which the return relates). E.g. 31/1/14 is the last date on which a 2007/08 return will be accepted.
error message	The tax year for which you have attempted to file is not allowed. Please refer to the filing guidelines or contact the HMRC Online Services Helpdesk for further details.
Error returned in	Live only

Amendment exceeds number allowed online.	
error code	5091
Location	<ul style="list-style-type: none"> • IRenvelope/MTR@AmendedReturn • IRenvelope/Spartnership@AmendedReturn • IRenvelope/SAtrust@AmendedReturn
Condition	The amended return is not acceptable as it exceeds the number of amended returns that are allowed to be filed online, currently 9.
error message	This amended submission cannot be accepted because the maximum number of amended submissions allowed online have already been received.
Error returned in	Live only

Additional Information on Box 1A <ChargeableEventGains>

Any entry in Box 1A <ChargeableEventGains> may be required where:

- Chargeable Event Gains are present (boxes AOI6, AOI4, AOI8, FOR43); **and**
- Top Slicing Relief may be due i.e. taxpayer liable at Higher Rate (c13 boxes in TAX NIC Calculation document).

If the above circumstances apply Box 1A <ChargeableEventGains> will only be required if the number of years cannot be entered in any of boxes (AOI7, AOI5, AOI9, FOR44 because the customer had gains from more than one policy and they were not identical.

How to calculate the amount in Box 1A <ChargeableEventGains>

A = gain from box AOI6, AOI4, AOI8, FOR43

B = years from box (AOI7, AOI5, AOI9, FOR44 and Additional Information (if less than one, substitute (1))

For each separate instance divide A by B

Add total of all 'A divided by B'

Enter this total in c13.17 (box 1A)

Calculation/Top Slicing Relief (When all data has been entered on the Return)

If there is an entry greater than zero for Chargeable Event Gains present boxes AOI6, AOI4, AOI8, FOR44 perform a partial calculation to check if Top Slicing relief is potentially due (as specified in Calculate Tax and NIC)

Errors will arise if

There is an entry greater than zero in any of boxes AOI6, AOI4, AOI8, FOR44 and Top Slicing relief is due and:

a) Box 1A <ChargeableEventGains> is present and there is also an entry in any of AOI7, AOI5, AOI9, FOR44

Error 6517

b) Box 1A <ChargeableEventGains> exceeds the sum of AOI6 + AOI4 + AOI8 + FOR43

Error 6518

c) All of AOI7, AOI5, AOI9, FOR44 are absent (zero or blank) and there is no entry greater than zero in box 1A <ChargeableEventGains>.

Error 6522

End