



**Inland Revenue**  
Te Tari Taake

# Investment Income Information

Resident Withholding Tax (RWT)

Gateway Services  
Business use cases

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## Investment income information – Resident withholding tax (RWT) use cases

A selection of resident withholding tax (RWT) use cases relevant to investment income information (III) business outcomes are provided on this document.

### How to use this document

The resident withholding tax business use cases show sequences of IR’s gateway Return service operations that could be used to achieve a specific business outcome.

They do not comprise a comprehensive list of all required business outcomes, nor are they prescriptive or intended to inhibit software innovation in any way.

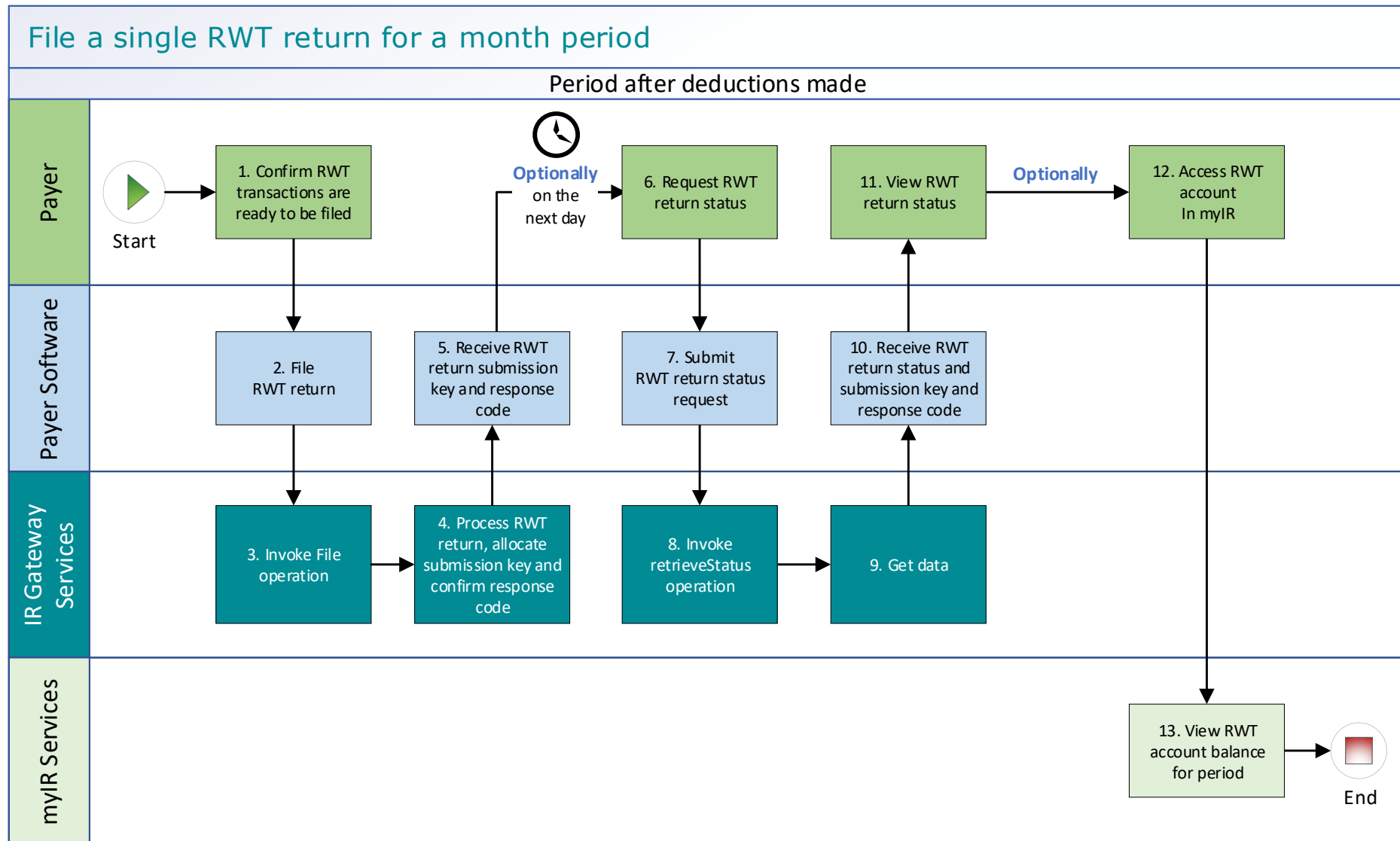
Additionally the processes described to invoke the Return service operations should not inhibit innovation to combine calls across the Gateway Service to achieve the same outcome or solve business needs not described here.

### Summary of resident withholding tax use cases

#	Business use case	File	Retrieve Status	Retrieve Return
1	File a single RWT return for a month period and optionally retrieve return status	1	2*	
2	File multiple RWT returns for a month period and optionally retrieve return status	1	2*	
3	Amend one or more line items in an RWT return as a single filer	1		
4	Amend one or more line items in an RWT return as a multi filer.	1		
5	Replace all data in an RWT return (Reverse Replace) - optionally retrieve RWT return status for a specified period, file an amended single RWT return the same period for all transactions.	1		
6	Intermediary files an RWT return on behalf of a payer for a specific period and optionally retrieve return status	1	2*	
7	Retrieve RWT return as a single filer for the specific period.			1
8	Retrieve RWT return as a multi filer for a specific period.		1*	2

**Note - "\*" indicates optional process steps.**

## Use Case 01: File a single RWT return for a month period (Single filer)



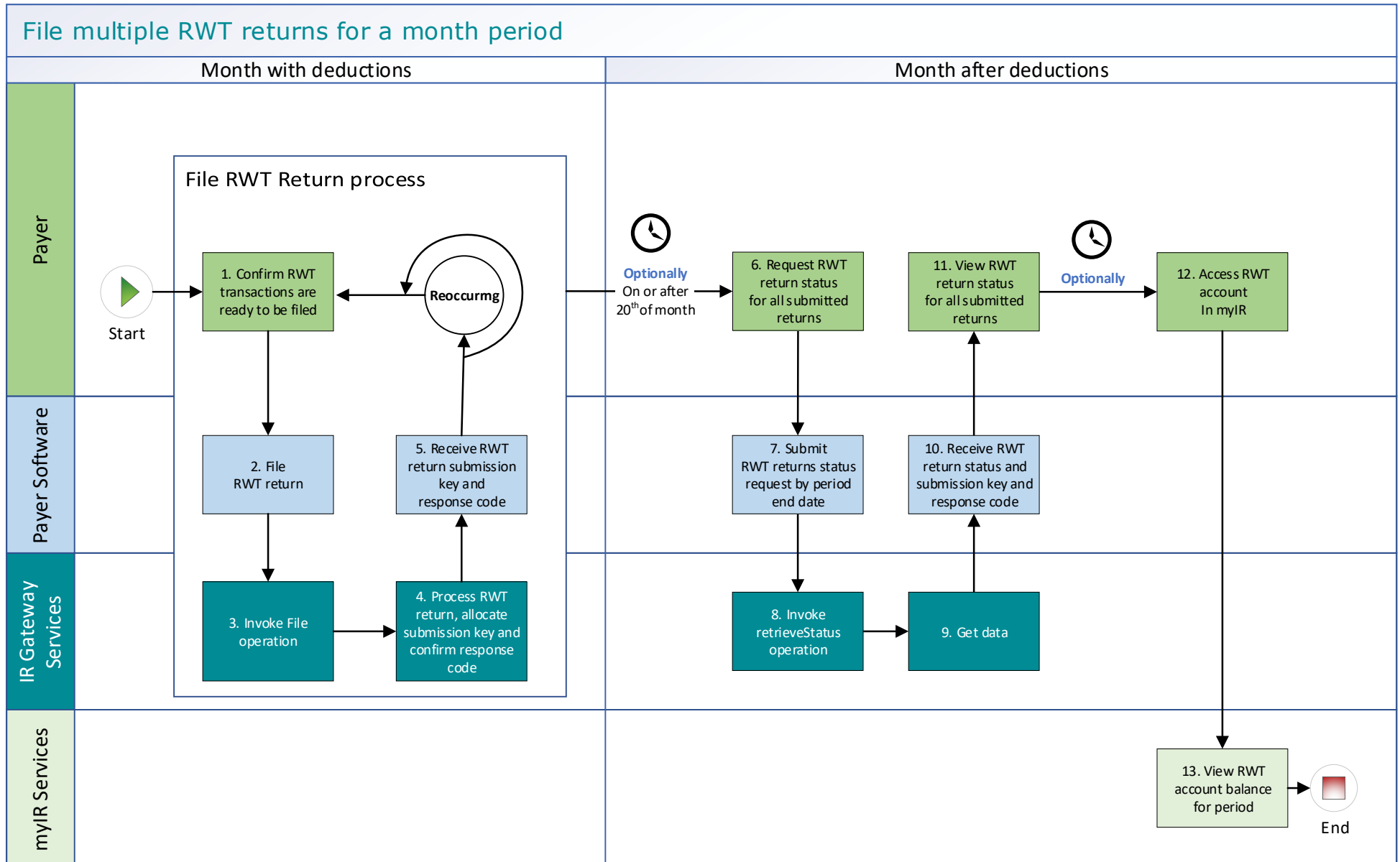
## Use Case 01 details - File a single RWT return for a month period

<b>Primary actor</b>	Payer
<b>Secondary actors</b>	Payer software Returns service
<b>Description</b>	<ul style="list-style-type: none"> <li>• Payer files a single RWT return for a month period for all investors including single and joint account holders.</li> <li>• Optionally on the next day, the payer retrieves return status of the previous month's RWT return to confirm if it has been processed.</li> </ul>
<b>Pre-conditions</b>	<ul style="list-style-type: none"> <li>• Payer is authenticated, authorised and logged into Payer software.</li> <li>• Payer has a logon for myIR.</li> <li>• Payer is enrolled for RWT account as a single filer.</li> <li>• Payer pays investors interest on their investment accounts and deducts withholding tax on the interest.</li> <li>• Payer software collates transactions for all investors of the month period after the month end date.</li> </ul>
<b>Post-conditions</b>	<ul style="list-style-type: none"> <li>• Payer's request is accepted and responded to</li> <li>• IR processes the filed RWT return and <ul style="list-style-type: none"> <li>◦ posts the submitted investors account holder details on their income tax account in myIR <b>on the next day</b>.</li> <li>◦ posts the summary return totals for the previous month on the Payers RWT account in myIR <b>on the next day</b>.</li> </ul> </li> <li>• Optionally, the payer accesses the payer's RWT account in myIR and reconciles the account debit due.</li> <li>• Payer makes payment by due date to IR for the payer RWT account.</li> </ul>
<b>Constraints</b>	<ul style="list-style-type: none"> <li>• The request must be sent using the Payer software.</li> <li>• To file a valid RWT return, details must be provided for: <ul style="list-style-type: none"> <li>◦ the payer's ird number,</li> <li>◦ the account type stated as RWT,</li> <li>◦ the filing period end date,</li> <li>◦ each account holders name, and at least one contact detail of email, phone or postal address,</li> <li>◦ at least one set of income information per line item.</li> </ul> </li> </ul>
<b>Use case scenarios</b>	
<b>1. Normal flow</b>	<ol style="list-style-type: none"> <li>1.1 Payer confirms the RWT return for the period is ready to be filed.</li> <li>1.2 Payer software files a single RWT return for a month period.</li> <li>1.3 Returns service 'File' operation is invoked and responds with a response code of "0" (success) and the unique submission key.</li> <li>1.4 Payer software receives the response code and the unique submission key for the RWT return.</li> </ol> <p><b>Optional process</b> to confirm the payer RWT return status, on the next day</p> <ol style="list-style-type: none"> <li>1.5 Payer initiates a status request of the RWT return for the specified period.</li> <li>1.6 Payer software requests the status of the previously filed RWT return using either the period end date or the submission key allocated to that RWT return.</li> <li>1.7 Returns service 'RetrieveStatus' operation is invoked.</li> </ol>

	<p>1.8 Returns service responds with a response code of "0" (success), the status of the previously filed RWT return and the original submission key.</p> <p>1.9 Payer software receives the response code and the original submission key for the RWT return.</p> <p>1.10 Payer views the status of the RWT return.</p> <p>1.11 Use case ends.</p>
<p><b>2. Alternative flow – file using gateway to file, then using myIR to view status and debit owed on Payer RWT account</b></p>	<p>2.1 Payer confirms the RWT return for the period is ready to be filed.</p> <p>2.2 Payer software files a single RWT return for a month period.</p> <p>2.3 Returns service 'File' operation is invoked and responds with a response code of "0" (success) and the unique submission key.</p> <p>2.4 Payer software receives the response code and the unique submission key for the RWT return.</p> <p><b>Optional process</b> to confirm the payer RWT return status.</p> <p>2.5 Payer accesses RWT account in myIR</p> <p>2.6 Payer views status of the RWT return to confirm if it has been processed.</p> <p>2.7 If processed, payer is able to view the total posted RWT account debit due for payment.</p> <p>2.8 Use case ends.</p>
<p><b>3. Exception Flow – message fails schema or other validation</b></p>	<p>3.1 Payer confirms the RWT return for the period is ready to be filed.</p> <p>3.2 Payer software files the single RWT return for a month period.</p> <p>3.3 Returns service 'File' operation is invoked.</p> <p>3.4 Returns service processes and invalidates the RWT return payload data due to one or more reasons including</p> <ul style="list-style-type: none"> <li>• Unrecognised XML request</li> <li>• XML request failed validation</li> <li>• data invalidations e.g. period end date is not a date that exists e.g. 31st September, 31st November or account holder line items are missing for at least one contact detail.</li> </ul> <p>3.5 Returns service returns an error response to the Payer software; with one or more error codes, up to a maximum of 200. (Please see section 5.1 and 5.2 for the response codes in Returns service build pack - III)</p> <p>3.6 Payer software receives the error response code for the RWT return.</p> <p>3.7 Payer reviews the error message and makes amendments to the payload format or data then confirms the Payer RWT return is ready to be filed.</p> <p><b>Note:</b> Even if one or more line items are in error the complete return containing all line items needs to be filed.</p> <p>3.8 Payer software files a single RWT return for a month period.</p> <p>3.9 Returns service 'File' operation is invoked and responds with a response code of "0" (success) and a unique submission key.</p> <p>3.10 Payer software receives the response code and the unique submission key for the RWT return</p> <p>3.11 Use case ends.</p>

<p><b>4. Exception Flow – Payer is not registered for service</b></p>	<p>4.1 Payer is not registered for the 'Returns' service.</p> <p>4.2 Identity and Access service returns an error response to the Payer software due to</p> <ul style="list-style-type: none"> <li>• Unauthorised access</li> <li>• Unauthorised delegation</li> </ul> <p>4.3 Use case ends.</p>
<p><b>5. Exception – Payer is not Authorised to use Service</b></p>	<p>5.1 The payer is valid, however doesn't have the correct permissions to use this service.</p> <p>5.2 Returns service fails to authorise the payer and returns an error response to the Payer software (please refer section 5 'Response codes' in the Returns service build pack - III) due to</p> <ul style="list-style-type: none"> <li>• Unauthorised delegation</li> <li>• Unauthorised vendor</li> <li>• Account type not supported</li> </ul> <p>5.3 Payer software displays the error message</p> <p>5.4 Payer views the error message</p> <p>5.5 Use case ends.</p>
<p><b>6. Exception – Authentication token is expired</b></p>	<p>6.1 Identity and access services validates and finds the authentication token has expired.</p> <p>6.2 Identity and access services returns an error response to the Payer software for the authentication failure (please refer section 2 in the <a href="#">Identity and Access Services build pack</a>).</p> <p>6.3 Identity and access services validate credentials and generates a new token.</p> <p>6.4 Identity and access services records a new token generation request.</p> <p>6.5 Use case ends.</p>

## Use Case 02: File multiple RWT returns for a month period (Multi-filer)





## Use Case 02 details - File multiple RWT returns for a month period (multi-filer)

<b>Primary actor</b>	Payer
<b>Secondary actors</b>	Payer software Returns service
<b>Description</b>	<ul style="list-style-type: none"> <li>Payer files multiple RWT returns for a month period for all investors including single and joint account holders. Example: <ul style="list-style-type: none"> <li>RWT Return 1 has line items 1-100,000,</li> <li>RWT Return 2 has line items 100,001-200,000 and</li> <li>RWT Return 3 has line items 200,001-250,00</li> </ul> </li> <li>As a registered multi-filer the payer can file the multiple RWT returns at any time during the month period and up to the 20<sup>th</sup> of the month following e.g. they can be filled <ul style="list-style-type: none"> <li>at the same time as the RWT withholding tax is deducted on investors account</li> <li>as a combined filing of all the returns at a point in time.</li> </ul> </li> <li>Optionally, the payer retrieves the return status of the previous month's RWT return to confirm to confirm if it has been processed.</li> </ul> <p><b>Note:</b> for a multi-filer the return will only be processed on the 20th of the month following the period end date.</p>
<b>Pre-conditions</b>	<ul style="list-style-type: none"> <li>Payer is authenticated, authorised and logged into Payer software.</li> <li>Payer has a logon for myIR.</li> <li>Payer is enrolled for RWT account as a multi-filer.</li> <li>Payer pays investors interest on their investment accounts and deducts withholding tax on the interest.</li> </ul>
<b>Post-conditions</b>	<ul style="list-style-type: none"> <li>Payer's request is accepted and responded to.</li> <li>IR processes the filed RWT return and posts the submitted investors RWT details on their income tax account in myIR on the next day.</li> <li>On the 20<sup>th</sup> of the month following IR processes and posts single summary return totals for the previous month on the Payers RWT account in myIR <b>on the next day</b>.</li> <li>Optionally on or after the 20<sup>th</sup> of the month following the payer accesses the payer's RWT account in myIR and reconciles the account debit due.</li> <li>Payer makes payment to IR for the payer RWT account.</li> </ul>
<b>Constraints</b>	<ul style="list-style-type: none"> <li>The request must be sent using the Payer software.</li> <li>To file a valid RWT return, details must be provided for: <ul style="list-style-type: none"> <li>the payer's ird number,</li> <li>the account type stated as RWT,</li> <li>the filing period end date,</li> <li>each account holders name, and at least one contact detail of email, phone or postal address,</li> <li>at least one set of income information per line item.</li> </ul> </li> </ul>
<b>Use case scenarios</b>	
<b>1. Normal flow</b>	At a filing pattern determined by the payer after withholding deductions on interest accounts has been made.

- 1.1 Payer confirms a RWT return for the period is ready to be filed.
- 1.2 Payer software files an RWT return for a defined period for all investor accounts that have had withholding tax on interest deducted.
- 1.3 Returns service 'File' operation is invoked and responds with a response code of "0" (success) and the unique submission key.
- 1.4 Payer software receives the response code and the unique submission key for the RWT return.

This filing pattern is repeated for multiple RWT returns within the month period.

**Optional process** to confirm the payer RWT return status

- 1.5 Payer initiates a status request of the RWT returns for the specified period end date.
- 1.6 Payer software requests the status of the previously filed RWT return using either
  - the period end date to retrieve the status of all returns
  - or the unique submission key to retrieve the status of a single RWT return.
- 1.7 Returns service 'RetrieveStatus' operation is invoked.
- 1.8 Returns service responds with a response code of "0" (success), the status of the previously filed RWT return and the original submission key.
- 1.9 Payer software receives the status of each requested RWT return.
- 1.10 Use case ends.

**2. Alternative flow – file using gateway to file, then using myIR to view status and debit owed on Payer RWT account**

At a filing pattern determined by the payer after withholding deductions on interest accounts has been made.

- 2.1 Payer confirms a RWT return for the period is ready to be filed.
- 2.2 Payer software files an RWT return for a defined period for all investor accounts that have had withholding tax on interest deducted.
- 2.3 Returns service 'File' operation is invoked and responds with a response code of "0" (success) and the unique submission key.
- 2.4 Payer software receives the response code and the unique submission key for the RWT return.

This filing pattern is repeated for multiple RWT returns within the month period.

Optional processes, normally on the 20<sup>th</sup> of the month following

- 2.5 Payer accesses RWT account in myIR
- 2.6 Payer views status of **all** filed RWT returns to confirm if they have been processed.
- 2.7 If all have processed, payer is able to view the total posted RWT account debit due for payment.
- 2.8 Use case ends.

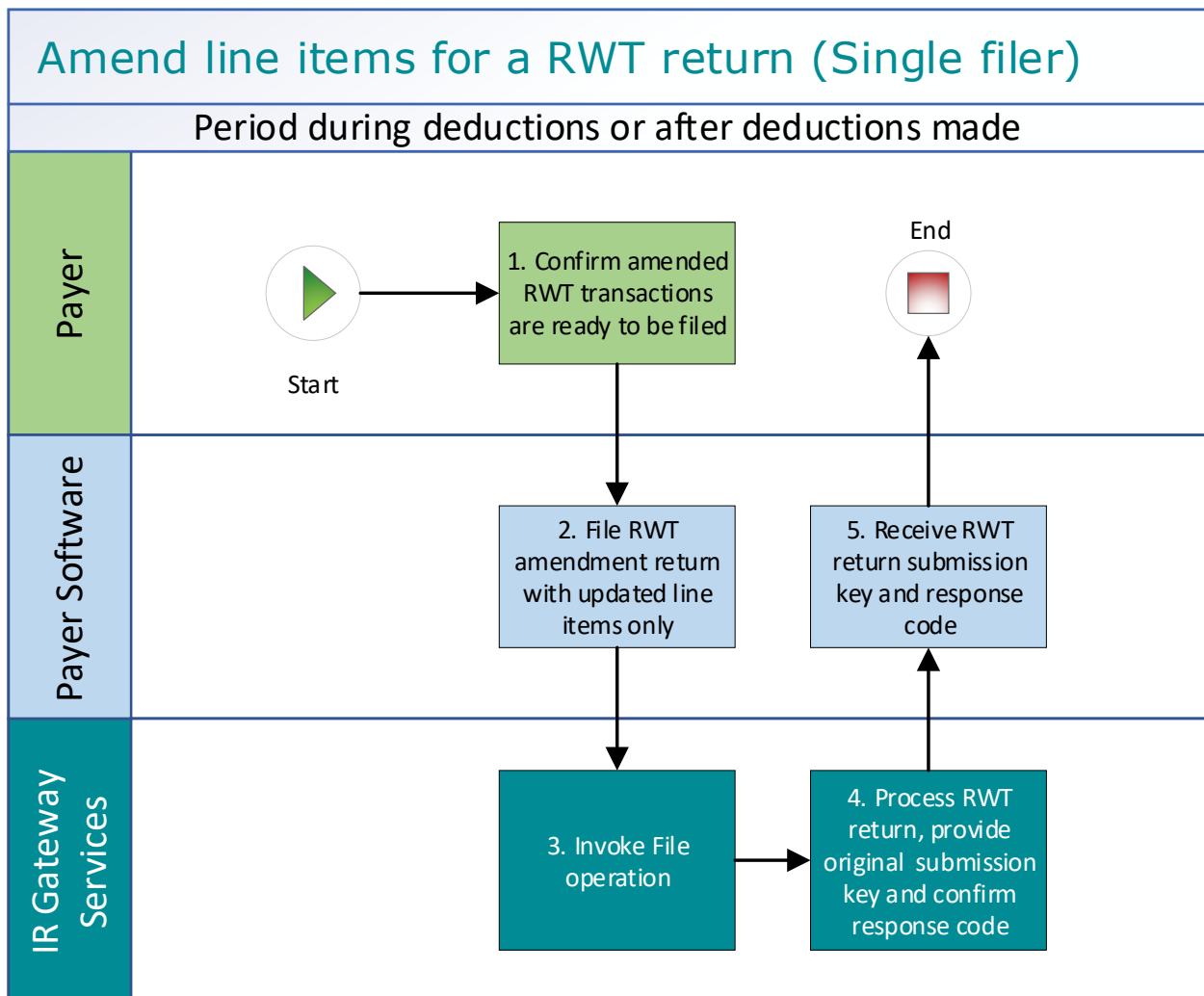
**3. Exception Flow – message fails schema or other validation**

- 3.1 Payer confirms a RWT return for the period is ready to be filed.
- 3.2 Payer software files an RWT return for a month period.
- 3.3 Returns service 'File' operation is invoked.

	<p>3.4 Returns service processes and invalidates the RWT return payload data due to one or more reasons including</p> <ul style="list-style-type: none"> <li>• Unrecognised XML request</li> <li>• XML request failed validation</li> <li>• data invalidations e.g. period end date is not a date that exists e.g. 31st September, 31st November or account holder line items are missing at least one contact detail.</li> </ul> <p>3.5 Returns service returns an error response to the Payer software; with one or more error codes, up to a maximum of 200. (Please see section 5.1 and 5.2 for the response codes in Returns service build pack - III)</p> <p>3.6 Payer software receives the error response code for the RWT return.</p> <p>3.7 Payer reviews the error message and makes amendments to the payload format or data then confirms the Payer RWT return is ready to be filed.</p> <p><b>Note:</b> Even if one or more line items are in error the complete return containing all line items needs to be filed.</p> <p>3.8 Payer software files the RWT return for a month period.</p> <p>3.9 Returns service 'File' operation is invoked and responds with a response code of "0" (success) and the unique submission key.</p> <p>3.10 Payer software receives the response code and a unique submission key for the RWT return.</p> <p>3.11 Use case ends.</p>
<p><b>4. Exception Flow – Payer is not registered for service</b></p>	<p>4.1 Payer is not registered for the 'Returns' service.</p> <p>4.2 Identity and Access service returns an error response to the Payer software due to</p> <ul style="list-style-type: none"> <li>• Unauthorised access</li> <li>• Unauthorised delegation</li> </ul> <p>4.3 Use case ends.</p>
<p><b>5. Exception – Payer is not Authorised to use Service</b></p>	<p>5.1 The payer is valid, however doesn't have the correct permissions to use this service.</p> <p>5.2 Returns service fails to authorise the payer and returns an error response to the Payer software (please refer section 5 'Response codes' in the Returns service build pack - III) due to</p> <ul style="list-style-type: none"> <li>• Unauthorised delegation</li> <li>• Unauthorised vendor</li> <li>• Account type not supported</li> </ul> <p>5.3 Payer software displays the error message</p> <p>5.4 Payer views the error message</p> <p>5.5 Use case ends.</p>
<p><b>6. Exception – Authentication token is expired</b></p>	<p>6.1 Identity and access services validates and finds the authentication token has expired.</p> <p>6.2 Identity and access services returns an error response to the Payer software for the authentication failure (please refer section 2 in the <a href="#">Identity and Access Services build pack</a>).</p>

- |  |  |
|--|--|
|  | <ul style="list-style-type: none"><li>6.3 Identity and access services validate credentials and generates a new token.</li><li>6.4 Identity and access services records a new token generation request.</li><li>6.5 Use case ends.</li></ul> |
|--|--|

## Use Case 03: Amend RWT return for a specific period (Single filer)



## Use Case 03 details - Amend RWT return line items for a specific period (Single filer)

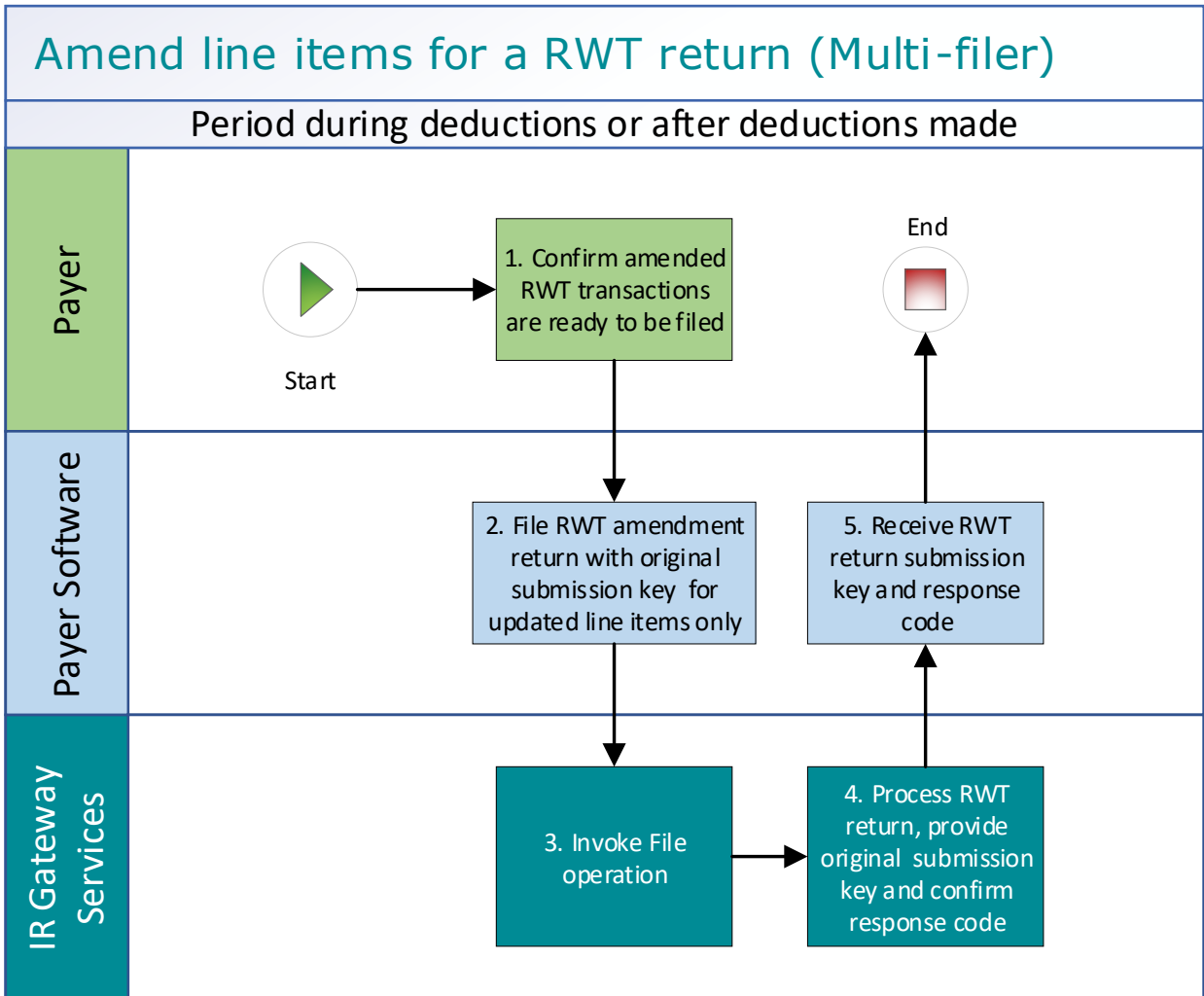
<b>Primary actor</b>	Payer
<b>Secondary actors</b>	Payer software Returns service
<b>Description</b>	<ul style="list-style-type: none"> <li>• Payer determines an amendment is required to one or more line items in the previously filed RWT return for a specific period.</li> <li>• Payer files an amended RWT return for the same period which includes only the updated line items.</li> </ul>
<b>Pre-conditions</b>	<ul style="list-style-type: none"> <li>• Payer is authenticated, authorised and logged into Payer software.</li> <li>• Payer has a logon for myIR.</li> <li>• Payer is enrolled for an RWT account as a single or multi filer.</li> <li>• Payer pays investors interest on their investment accounts and deducts withholding tax on the interest.</li> <li>• Payer has filed an RWT return for a previous period for all investors including single and joint account holders</li> </ul>
<b>Post-conditions</b>	<ul style="list-style-type: none"> <li>• Payer's request is accepted and responded to.</li> <li>• IR processes the filed RWT return and <ul style="list-style-type: none"> <li>◦ posts the submitted investors account holder details on their income tax account in myIR <b>on the next day</b>.</li> <li>◦ posts the summary return totals for the previous month on the Payers RWT account in myIR <b>on the next day</b>.</li> </ul> </li> <li>• Optionally, the payer accesses the payer's RWT account in myIR and reconciles the account debit due.</li> <li>• Payer makes payment by due date to IR for the payer RWT account.</li> </ul>
<b>Constraints</b>	<ul style="list-style-type: none"> <li>• The request must be sent using the Payer software.</li> <li>• As the payer is registered as a single filer in order to file amendments they can either provide: <ul style="list-style-type: none"> <li>◦ the payer's ird number, the account type stated as RWT and the period end-date or</li> <li>◦ the submission key from a previously filed RWT return.</li> </ul> </li> <li>• Additionally, to file a valid RWT return amendment, details must be provided for: <ul style="list-style-type: none"> <li>◦ "isAmended" to confirm this is an amended return plus optionally the amend reason (KEY / MATH / OTHER / TRNSPO) and amend details,</li> <li>◦ for each updated line item <ul style="list-style-type: none"> <li>▪ the reference ID they have previously assigned to the line item or</li> <li>▪ if no assigned reference ID they must supply the line item ID assigned to the processed return by IR.</li> </ul> </li> <li>◦ To retrieve the line item ID they will need to invoke the "retrieveReturn" operation – refer to <a href="#">Use Case 07</a> for process steps.</li> </ul> </li> </ul>
<b>Use case scenarios</b>	
<b>1. Normal flow</b>	<p>Amendment is ready to be filed for an RWT return</p> <p>1.1 Payer confirms the Payer RWT return amended line items are ready to be filed.</p>

	<p>1.2 Payer software files an amended RWT return for a specific period with the updated line items.</p> <p>1.3 Returns service 'File' operation is invoked and responds with a response code of "0" (success) and the original return submission key.</p> <p>1.4 Payer software receives the response code and the original return submission key for the amended RWT return.</p> <p>1.5 Use case ends.</p>
<p><b>2. Exception Flow – Submission Key unknown for the RWT return</b></p>	<p>Optionally to confirm return status and or submission key</p> <p>2.1 Payer initiates a status request of the previously submitted RWT return for a specified period end date.</p> <p>2.2 Payer software requests the status of the previously filed RWT return using the payer name and period end date.</p> <p>2.3 Returns service 'RetrieveStatus' operation is invoked.</p> <p>2.4 Returns service responds with the status of the previously filed RWT return and the submission key.</p> <p>Amendment is ready to be filed for an RWT return</p> <p>2.5 Payer confirms the Payer RWT return amended line items are ready to be filed.</p> <p>2.6 Payer software files an amended RWT return for a specific period.</p> <p>2.7 Returns service 'File' operation is invoked and responds with a status code of "0" (success) and the original return submission key.</p> <p>2.8 Payer software receives the response code and the original return submission key for the amended RWT return.</p> <p>2.9 Use case ends.</p>
<p><b>3. Exception Flow – Line item ids required to submit amendments</b></p>	<p>3.1 Payer initiates a retrieve return request of the previously submitted RWT return for a specified period end date.</p> <p>3.2 Payer software requests the status of the previously filed RWT return using the payer name and period date.</p> <p>3.3 Returns service 'RetrieveStatus' operation is invoked.</p> <p>3.4 Returns service responds with a response code of "0" (success), the status of the previously filed RWT return and the original submission key.</p> <p>Amendment is ready to be filed for an RWT return</p> <p>3.5 Payer confirms the Payer RWT return amended line items are ready to be filed.</p> <p>3.6 Payer software files an amended RWT return for a specific period.</p> <p>3.7 Returns service 'File' operation is invoked and responds with a response code of "0" (success) and the original return submission key.</p> <p>3.8 Payer software receives the response code and the original return submission key for the amended RWT return.</p> <p>3.9 Use case ends.</p>
<p><b>4. Exception Flow – message fails schema or other validation</b></p>	<p>4.1 Payer confirms the Payer RWT return amended line items are ready to be filed.</p> <p>4.2 Payer software files an amended RWT return for a specific period.</p>

	<p>4.3 Returns service 'File' operation is invoked.</p> <p>4.4 Returns service processes and invalidates the RWT return payload data due to one or more reasons including</p> <ul style="list-style-type: none"> <li>• Unrecognised XML request</li> <li>• XML request failed validation</li> <li>• data invalidations e.g. period end date is not a date that exists e.g. 31st September, 31st November</li> </ul> <p>4.5 Returns service returns an error response to the Payer software; with one or more error codes, up to a maximum of 200. (Please see section 5.1 and 5.2 for the response codes in Returns service build pack - III)</p> <p>4.6 Use case ends.</p>
<p><b>5. Exception Flow – Payer is not registered for service</b></p>	<p>5.1 Payer is not registered for the 'Returns' service.</p> <p>5.2 Identity and Access service returns an error response to the Payer software due to</p> <ul style="list-style-type: none"> <li>• Unauthorised access</li> <li>• Unauthorised delegation</li> </ul> <p>5.3 Use case ends.</p>
<p><b>6. Exception – Payer is not Authorised to use Service</b></p>	<p>6.1 The payer is valid, however doesn't have the correct permissions to use this service.</p> <p>6.2 Returns service fails to authorise the payer and returns an error response to the Payer software (please refer section 5 'Response codes' in the Returns service build pack - III) due to</p> <ul style="list-style-type: none"> <li>• Unauthorised delegation</li> <li>• Unauthorised vendor</li> <li>• Account type not supported</li> </ul> <p>6.3 Payer software displays the error message</p> <p>6.4 Payer views the error message</p> <p>6.5 Use case ends.</p>
<p><b>7. Exception – Authentication token is expired</b></p>	<p>7.1 Identity and access services validates and finds the authentication token has expired.</p> <p>7.2 Identity and access services returns an error response to the Payer software for the authentication failure (please refer section 2 in the <a href="#">Identity and Access Services build pack</a>).</p> <p>7.3 Identity and access services validate credentials and generates a new token.</p> <p>7.4 Identity and access services records a new token generation request.</p> <p>7.5 Use case ends.</p>



**Use Case 04:** Amend RWT return line items for a specific period (Multi-filer)



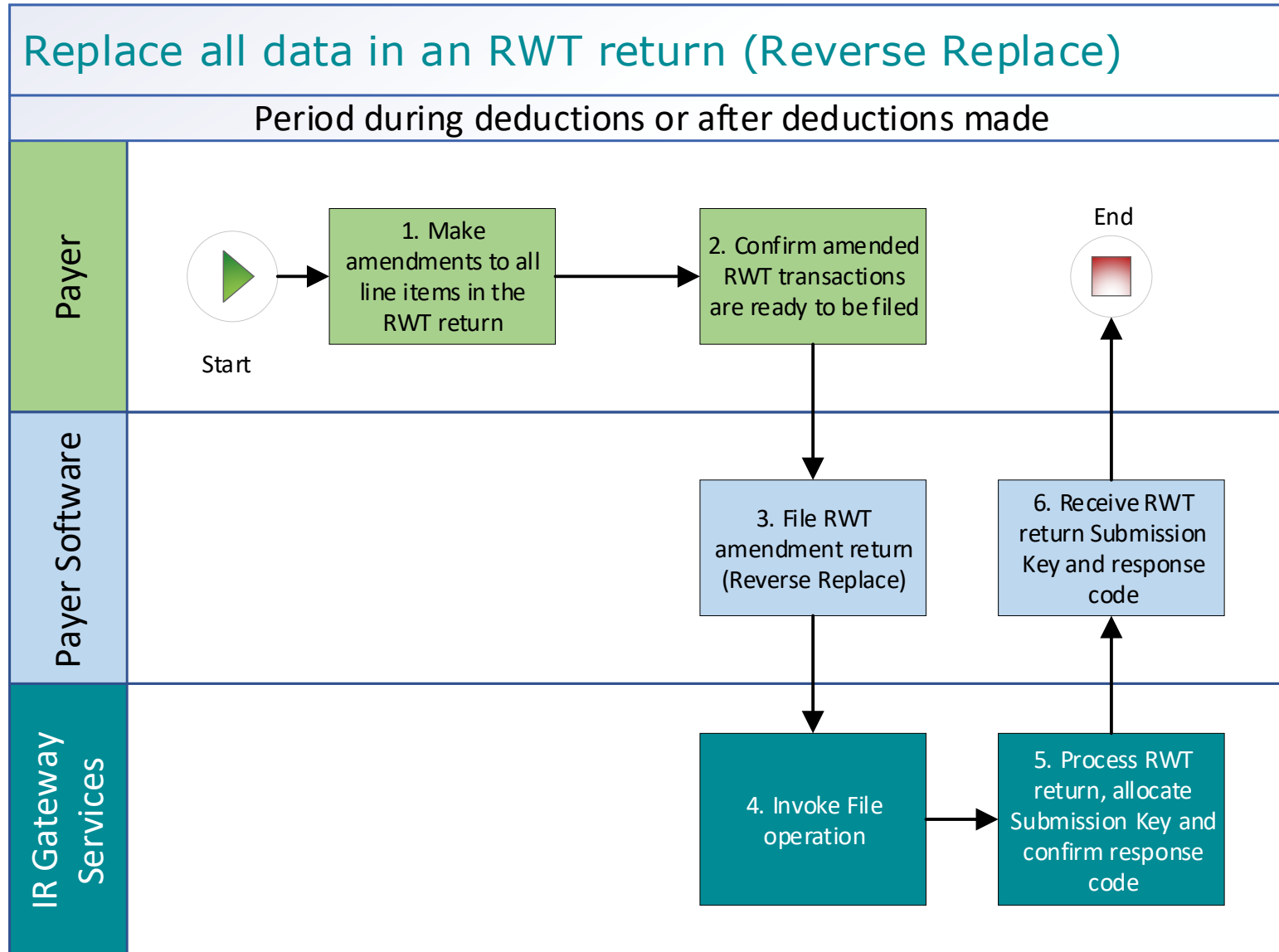
## Use Case 04 details - Amend RWT return line items for a specific period (Multi-filer)

<b>Primary actor</b>	Payer
<b>Secondary actors</b>	Payer software Returns service
<b>Description</b>	<ul style="list-style-type: none"> <li>Payer determines an amendment is required to one or more line items in the previously filed RWT return for a specific period. Payer files an amended RWT return for the same period which includes only the updated line items.</li> </ul>
<b>Pre-conditions</b>	<ul style="list-style-type: none"> <li>Payer is authenticated, authorised and logged into Payer software.</li> <li>Payer has a logon for myIR.</li> <li>Payer is enrolled for an RWT account as a single or multi filer.</li> <li>Payer pays investors interest on their investment accounts and deducts withholding tax on the interest.</li> <li>Payer has filed an RWT return for a previous period for all investors including single and joint account holders</li> </ul>
<b>Post-conditions</b>	<ul style="list-style-type: none"> <li>Payer's request is accepted and responded to.</li> <li>IR processes each filed RWT return and posts the updated investors RWT details on their income tax account in myIR</li> <li>On the 20<sup>th</sup> of the month following IR processes and posts the summary return totals <b>from all</b> RWT returns for the previous month on the Payers RWT account in myIR.</li> <li>Optionally on or after the 20<sup>th</sup> of the month following the payer accesses the payer's RWT account in myIR and reconciles the account debit due.</li> <li>Payer makes payment by due date to IR for the payer RWT account..</li> </ul>
<b>Constraints</b>	<ul style="list-style-type: none"> <li>The request must be sent using the Payer software.</li> <li>As the payer is registered as a multi-filer they must provide a submission key from a previously filed RWT return in order to file amendments for an RWT return.</li> <li>To file a valid RWT return amendment, details must be provided for: <ul style="list-style-type: none"> <li>"isAmended" to confirm this is an amended return plus optionally the amend reason (KEY / MATH / OTHER / TRNSPO) and amend details,</li> <li>For each updated line item <ul style="list-style-type: none"> <li>the reference ID they have previously assigned to the line item or</li> <li>if no assigned reference ID they must supply the line item ID assigned to the processed return by IR.</li> </ul> </li> <li>To retrieve the line item ID the payer will need to invoke the "retrieveReturn" operation – refer to <a href="#">Use Case 07</a> for process steps.</li> </ul> </li> </ul>
<b>Use case scenarios</b>	
<b>1. Normal flow</b>	<p>Amendment is ready to be filed for an RWT return</p> <ol style="list-style-type: none"> <li>1.1 Payer confirms the Payer RWT return amended line items are ready to be filed.</li> <li>1.2 Payer software files an amended RWT return for a specific period with the updated line items.</li> </ol>

	<p>1.3 Returns service 'File' operation is invoked and responds with a response code of "0" (success) and the original RWT return submission key.</p> <p>1.4 Payer software receives the response code and the original return submission key for the amended RWT return.</p> <p>1.5 Use case ends.</p>
<p><b>2. Exception Flow – Submission Key unknown for the RWT return</b></p>	<p>To confirm submission key of a filed RWT return</p> <p>2.1 Payer initiates a single status request of <b>all</b> filed RWT return for the specified period.</p> <p>2.2 Payer software requests the return status the previously filed RWT returns using the payer name and period end date.</p> <p>2.3 Returns service 'RetrieveStatus' operation is invoked.</p> <p>2.4 Returns service responds with a response code of "0" (success), the status of <b>all</b> previously filed RWT return and their submission keys.</p> <p>Amendment is ready to be filed for an RWT return</p> <p>2.5 Payer confirms the Payer RWT return amended line items are ready to be filed.</p> <p>2.6 Payer software files an amended RWT return for a specific period.</p> <p>2.7 Returns service 'File' operation is invoked and responds with a response code of "0" (success) and the original return submission key.</p> <p>2.8 Payer software receives the response code and the original return submission key for the amended RWT return.</p> <p>2.9 Use case ends.</p>
<p><b>3. Exception Flow – message fails schema or other validation</b></p>	<p>3.1 Payer confirms the Payer RWT return amended line items are ready to be filed.</p> <p>3.2 Payer software files an amended RWT return for a specific period.</p> <p>3.3 Returns service 'File' operation is invoked.</p> <p>3.4 Returns service processes and invalidates the RWT return payload data due to one or more reasons including</p> <ul style="list-style-type: none"> <li>• Unrecognised XML request</li> <li>• XML request failed validation</li> <li>• data invalidations</li> </ul> <p>3.5 Returns service returns an error response to the Payer software; with one or more error codes, up to a maximum of 200. (Please see section 5.1 and 5.2 for the response codes in Returns service build pack - III)</p> <p>3.6 Use case ends.</p>
<p><b>4. Exception Flow – Payer is not registered for service</b></p>	<p>4.1 Payer is not registered for the 'Returns' service.</p> <p>4.2 Identity and Access service returns an error response to the Payer software due to</p> <ul style="list-style-type: none"> <li>• Unauthorised access</li> <li>• Unauthorised delegation</li> </ul> <p>4.3 Use case ends.</p>
<p><b>5. Exception – Payer is not</b></p>	<p>5.1 The payer is valid, however doesn't have the correct permissions to use this service.</p>

<p><b>Authorised to use Service</b></p>	<p>5.2 Returns service fails to authorise the payer and returns an error response to the Payer software (please refer section 5 'Response codes' in the Returns service build pack - III) due to</p> <ul style="list-style-type: none"> <li>• Unauthorised delegation</li> <li>• Unauthorised vendor</li> <li>• Account type not supported</li> </ul> <p>5.3 Payer software displays the error message</p> <p>5.4 Payer views the error message</p> <p>5.5 Use case ends.</p>
<p><b>6. Exception – Authentication token is expired</b></p>	<p>6.1 Identity and access services validate and find authentication token expired</p> <p>6.2 Identity and access services returns an error response to the Payer software for the authentication failure (please refer section 2 in the 'Identity and Access Services' build pack)</p> <p>6.3 Identity and access services validate credentials and generate new token.</p> <p>6.4 Identity and access services records new token generation request</p> <p>6.5 Use case ends.</p>

**Use Case 05:** Replace all data in an RWT return (Reverse Replace)

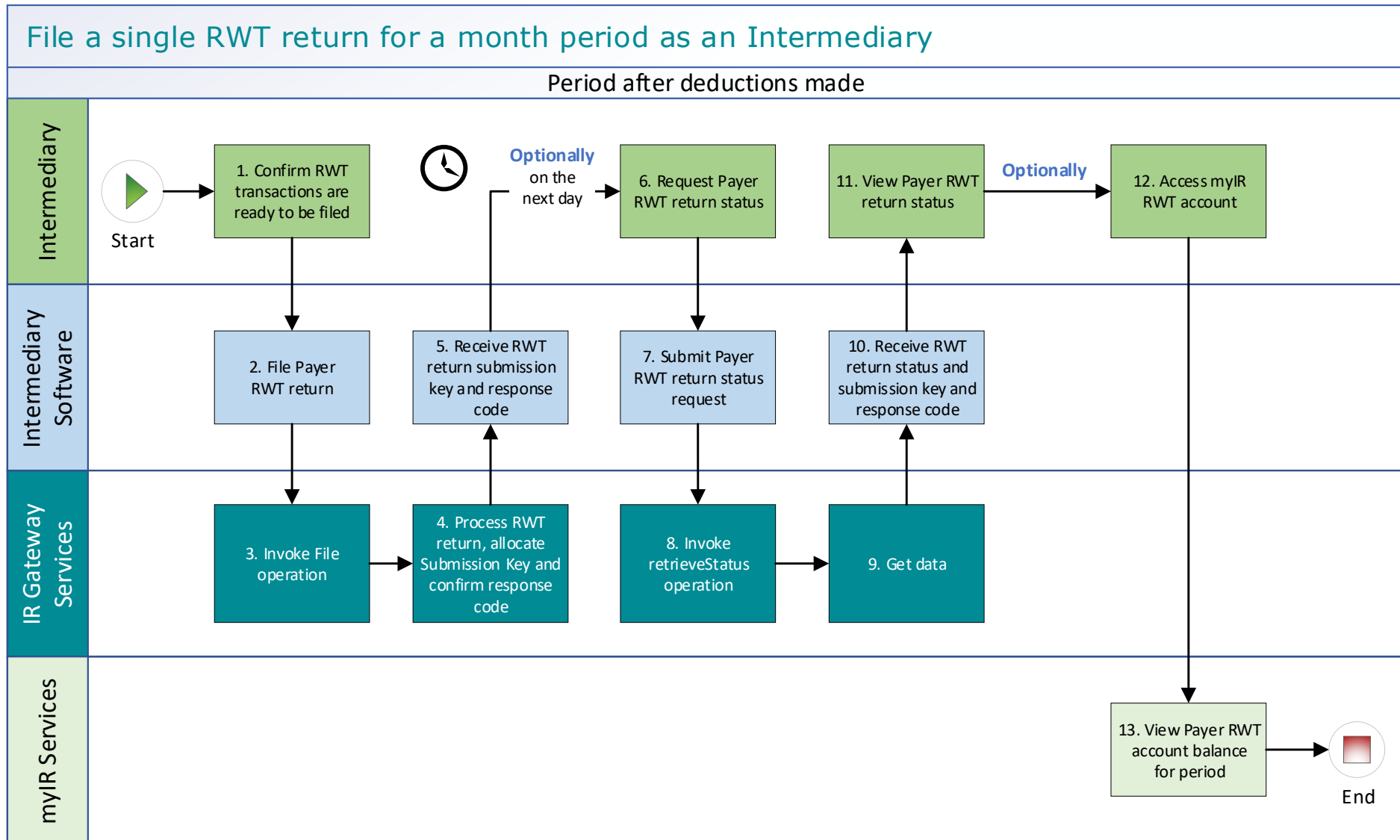


## Use Case 05 details - Replace all data in an RWT return (Reverse Replace)

<b>Primary actor</b>	Payer
<b>Secondary actors</b>	Payer software Returns service
<b>Description</b>	<ul style="list-style-type: none"> <li>Payer determines an amendment is required to all line items in the previously filed RWT return for a specific period</li> <li>Payer files an update of a previously filed RWT return with includes a complete set of updated line items for the same period.</li> </ul>
<b>Pre-conditions</b>	<ul style="list-style-type: none"> <li>Payer is authenticated, authorised and logged into Payer software.</li> <li>Payer has a logon for myIR.</li> <li>Payer is enrolled for an RWT account as a single or multi filer.</li> <li>Payer pays investors interest on their investment accounts and deducts withholding tax on the interest.</li> <li>Payer has filed a RWT return for a previous period for all investors including single and joint account holders.</li> </ul>
<b>Post-conditions</b>	<ul style="list-style-type: none"> <li>Payer's request is accepted and responded to.</li> <li>IR processes the filed RWT return and posts summary return totals for the previous month on the Payer's RWT account in myIR.</li> <li>Payer accesses the payer's RWT account in myIR and reconciles the account debit due.</li> <li>Payer makes payment by due date to IR for the payer RWT account.</li> </ul>
<b>Constraints</b>	<ul style="list-style-type: none"> <li>The request must be sent using the Payer software.</li> <li>If the payer is registered as a single filer they can either provide: <ul style="list-style-type: none"> <li>the payer's ird number, the account type stated as RWT and the period end-date or</li> <li>the submission key from a previously filed RWT return.</li> </ul> </li> <li>If the payer is registered as a multi-filer they must provide a submission key from a previously filed RWT return in order to file amendments.</li> </ul>
<b>Use case scenarios</b>	
<b>1. Normal flow</b>	<ol style="list-style-type: none"> <li>Payer makes amendments to all line items in the previously filed RWT return for a specific period.</li> <li>Payer confirms all line items of a previous Payer RWT return are ready to be filed.</li> <li>Payer software files an amended RWT return for a month period. This contains <ul style="list-style-type: none"> <li>"isAmended" to confirm this is an amended return plus optionally the amend reason (KEY / MATH / OTHER / TRNSPO) and amend details</li> <li>"isReverseReplace" to confirm this is a full resubmission of a previous return</li> <li>updated lines items</li> </ul> </li> <li>Returns service 'File' operation is invoked and responds with a response code of "0" (success) and the unique submission key.</li> <li>Payer software receives the response code and the unique submission key for the RWT return.</li> <li>Use case ends.</li> </ol>

<p><b>2. Exception Flow – Invalid payload or data</b></p>	<p>2.1 Payer confirms the complete amended Payer RWT return is ready to be filed.</p> <p>2.2 Payer software files an amended RWT return for a specific period.</p> <p>2.3 Returns service 'File' operation is invoked.</p> <p>2.4 Returns service processes and invalidates the RWT return payload data due to one or more reasons including</p> <ul style="list-style-type: none"> <li>• Unrecognised XML request</li> <li>• XML request failed validation</li> <li>• data invalidations e.g. period end date is not a date that exists e.g. 31st September, 31st November or account holder line items are missing for at least one contact detail.</li> </ul> <p>2.5 Returns service returns an error response to the Payer software; with one or more error codes, up to a maximum of 200. (Please see section 5.1 and 5.2 for the response codes in Returns service build pack - III)</p> <p>2.6 Payer software receives the error response code for the RWT return</p> <p>2.7 Use case ends.</p>
<p><b>3. Exception Flow – Payer is not registered for service</b></p>	<p>3.1 Payer is not registered for the 'Returns' service.</p> <p>3.2 Identity and Access service returns an error response to the Payer software due to</p> <ul style="list-style-type: none"> <li>• Unauthorised access</li> <li>• Unauthorised delegation</li> </ul> <p>3.3 Use case ends.</p>
<p><b>4. Exception – Payer is not Authorised to use Service</b></p>	<p>4.1 The payer is valid, however doesn't have the correct permissions to use this service.</p> <p>4.2 Returns service fails to authorise the payer and returns an error response to the Payer software (please refer section 5 'Response codes' in the Returns service build pack - III) due to</p> <ul style="list-style-type: none"> <li>• Unauthorised delegation</li> <li>• Unauthorised vendor</li> <li>• Account type not supported</li> </ul> <p>4.3 Payer software displays the error message</p> <p>4.4 Payer views the error message</p> <p>4.5 Use case ends.</p>
<p><b>5. Exception – Authentication token is expired</b></p>	<p>5.1 Identity and access services validates and finds the authentication token has expired.</p> <p>5.2 Identity and access services returns an error response to the Payer software for the authentication failure (please refer section 2 in the <a href="#">Identity and Access Services build pack</a>).</p> <p>5.3 Identity and access services validate credentials and generates a new token.</p> <p>5.4 Identity and access services records a new token generation request</p> <p>5.5 Use case ends.</p>

## Use Case 06: Intermediary files an RWT return on behalf of a payer (Single filer)





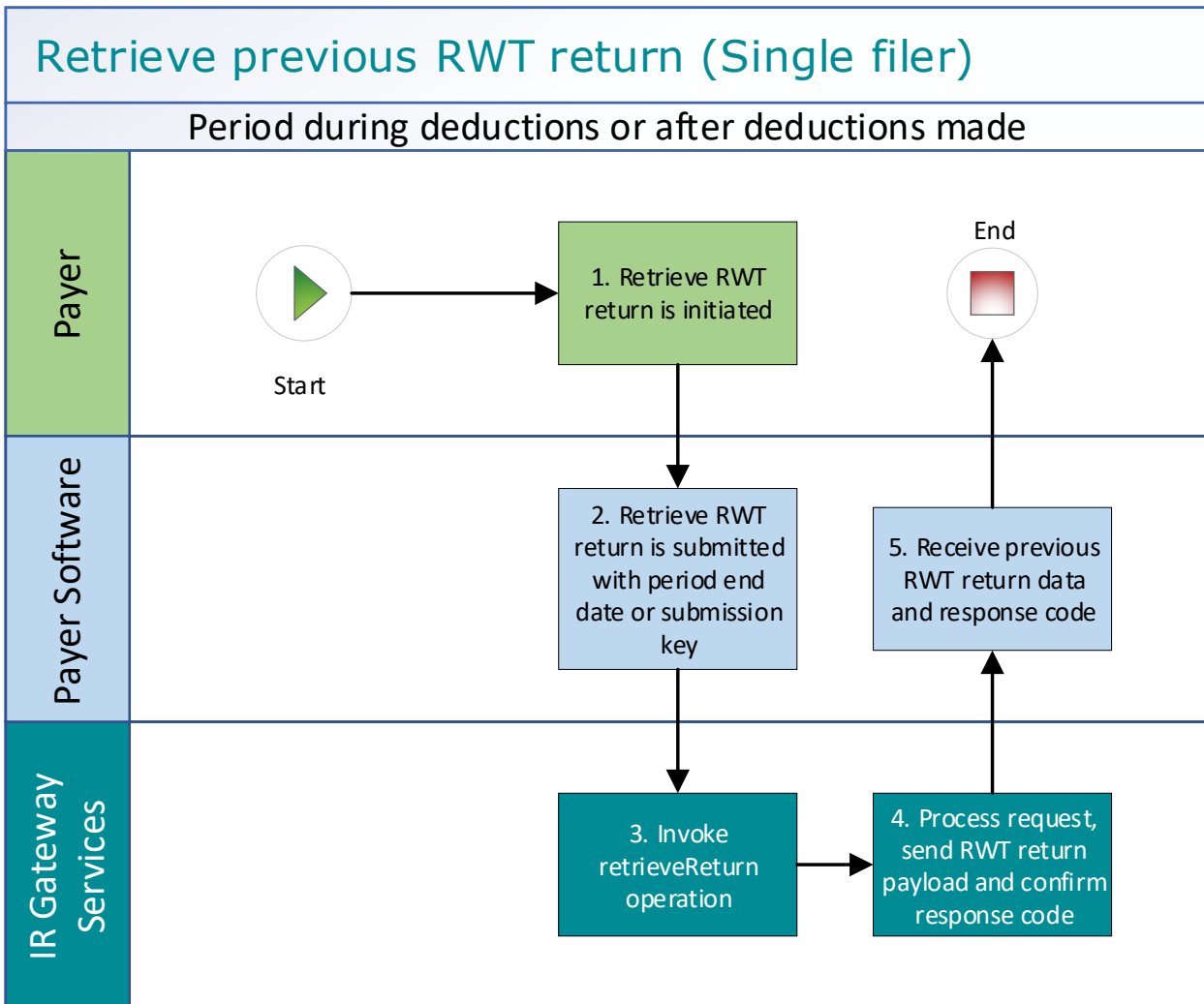
**Use Case 06 details - Intermediary files an RWT return on behalf of a payer (Single filer)**

<b>Primary actor</b>	Intermediary
<b>Secondary actors</b>	Intermediary software Returns service Payer
<b>Description</b>	<ul style="list-style-type: none"> <li>• Intermediary files a single RWT return for a month period for all investors including single and joint account holders.</li> <li>• Optionally on the next day, the intermediary retrieves return status of the previous month's RWT return to confirm if it has been processed.</li> </ul>
<b>Pre-conditions</b>	<ul style="list-style-type: none"> <li>• Intermediary is authenticated, authorised to act on behalf of the Payer and logged into intermediary software.</li> <li>• Payer is enrolled for RWT account as a single filer.</li> <li>• Intermediary has a logon for myIR.</li> <li>• Intermediary has an intermediary account link to the clients IPS account</li> <li>• Intermediary has File or Full account access to the RWT account (this is controlled by the client list security settings)</li> <li>• Payer or intermediary pays investors interest on their investment accounts and deducts withholding tax on the interest.</li> <li>• Intermediary collates transactions for all investors of the month period after the month end date.</li> </ul>
<b>Post-conditions</b>	<ul style="list-style-type: none"> <li>• Intermediary's request is accepted and responded to</li> <li>• IR processes the filed RWT return and <ul style="list-style-type: none"> <li>○ posts the submitted investors account holder details on their income tax account in myIR <b>on the next day</b>.</li> <li>○ posts the summary return totals for the previous month on the Payers RWT account in myIR <b>on the next day</b>.</li> </ul> </li> <li>• Optionally <ul style="list-style-type: none"> <li>○ the intermediary accesses the payer's RWT account in myIR and reconciles the account debit due.</li> <li>○ Intermediary makes payment by due date to IR for the payer RWT account.</li> </ul> </li> <li>• Alternatively <ul style="list-style-type: none"> <li>○ the intermediary accesses the payer's RWT account in myIR and reconciles the account debit due.</li> <li>○ Intermediary informs the payer to make payment by due date to IR for the payer RWT account.</li> </ul> </li> </ul>
<b>Constraints</b>	<ul style="list-style-type: none"> <li>• The request must be sent using the Intermediary software.</li> <li>• To file a valid RWT return, details must be provided for: <ul style="list-style-type: none"> <li>○ the payer's ird number,</li> <li>○ the account type stated as IPS,</li> <li>○ the filing period end date,</li> <li>○ each account holders name, and at least one contact detail of email, phone or postal address,</li> <li>○ at least one set of income information per line item.</li> </ul> </li> </ul>
<b>Use case scenarios</b>	
<b>1. Normal flow</b>	1.1 Intermediary confirms the RWT return for the period is ready to be filed.

	<p>1.2 Intermediary software files a single RWT return for a month period.</p> <p>1.3 Returns service 'File' operation is invoked and responds with a response code of "0" (success) and the unique submission key.</p> <p>1.4 Intermediary software receives the response code and the unique submission key for the RWT return.</p> <p><b>Optional process</b> to confirm the payer RWT return status, on the next day</p> <p>1.5 Intermediary initiates a status request of the RWT return for the specified period.</p> <p>1.6 Intermediary software requests the status of the previously filed RWT return using either the period end date or the submission key allocated to that RWT return.</p> <p>1.7 Returns service 'RetrieveStatus' operation is invoked.</p> <p>1.8 Returns service responds with a response code of "0" (success), the status of the previously filed RWT return and the original submission key.</p> <p>1.9 Intermediary software receives the response code and the unique submission key for the RWT return.</p> <p>1.10 Intermediary views the status of the RWT return.</p> <p>1.11 Use case ends.</p>
<p><b>2. Exception Flow – message fails schema or other validation</b></p>	<p>2.1 Intermediary confirms the RWT return is ready to be filed</p> <p>2.2 Intermediary software files a single RWT return for a month period.</p> <p>2.3 Returns service 'File' operation is invoked.</p> <p>2.4 Returns service processes and invalidates the RWT return payload data due to one or more reasons including</p> <ul style="list-style-type: none"> <li>• Unrecognised XML request</li> <li>• XML request failed validation</li> <li>• data invalidations e.g. period end date is not a date that exists e.g. 31st September, 31st November or account holder line items are missing for at least one contact detail.</li> </ul> <p>2.5 Returns service returns an error response to the Payer software; with one or more error codes, up to a maximum of 200. (Please see section 5.1 and 5.2 for the response codes in Returns service build pack - III)</p> <p>2.6 Intermediary software receives the error response code for the RWT return.</p> <p>2.7 Intermediary reviews the error message and makes amendments to the payload format or data then confirms the RWT return is ready to be filed.</p> <p><b>Note:</b> Even if one or more line items are in error the complete return containing all line items needs to be filed.</p> <p>2.8 Intermediary software files a single RWT return for a month period.</p> <p>2.9 Returns service 'File' operation is invoked and responds with a response code of "0" (success) and a unique submission key.</p>

	<p>2.10 Intermediary software receives the response code and the unique submission key for the RWT return</p> <p>2.11 Use case ends.</p>
<b>3. Exception Flow – Payer is not registered for service</b>	<p>3.1 Intermediary is not registered for the 'Returns' service.</p> <p>3.2 Identity and access services returns an error response to the Intermediary software due to unauthorised access OR unauthorised delegation</p> <p>3.3 Use case ends.</p>
<b>4. Exception – Payer is not Authorised to use Service</b>	<p>4.1 The intermediary is valid, however doesn't have the correct permissions to use this service, eg they only have 'read only' access rights or a not linked to the correct client list as an intermediary</p> <p>4.2 Returns service fails to authorise the payer and returns an error response to the Payer software (please refer section 5 'Response codes' in the Returns service build pack - III) due to</p> <ul style="list-style-type: none"> <li>• Unauthorised delegation OR</li> <li>• Unauthorised vendor OR</li> <li>• Account type not supported</li> </ul> <p>4.3 Intermediary software displays the error message</p> <p>4.4 Intermediary views the error message</p> <p>4.5 Use case ends.</p>
<b>5. Exception – Authentication token is expired</b>	<p>5.1 Identity and access services validates and finds the authentication token has expired.</p> <p>5.2 Identity and access services returns an error response to the Intermediary software for the authentication failure (please refer section 2 in the <a href="#">Identity and Access Services build pack</a>).</p> <p>5.3 Identity and access services validate credentials and generates a new token.</p> <p>5.4 Identity and access services records a new token generation request.</p> <p>5.5 Use case ends.</p>

**Use Case 07:** RWT return reassessment – retrieve return (Single filer)

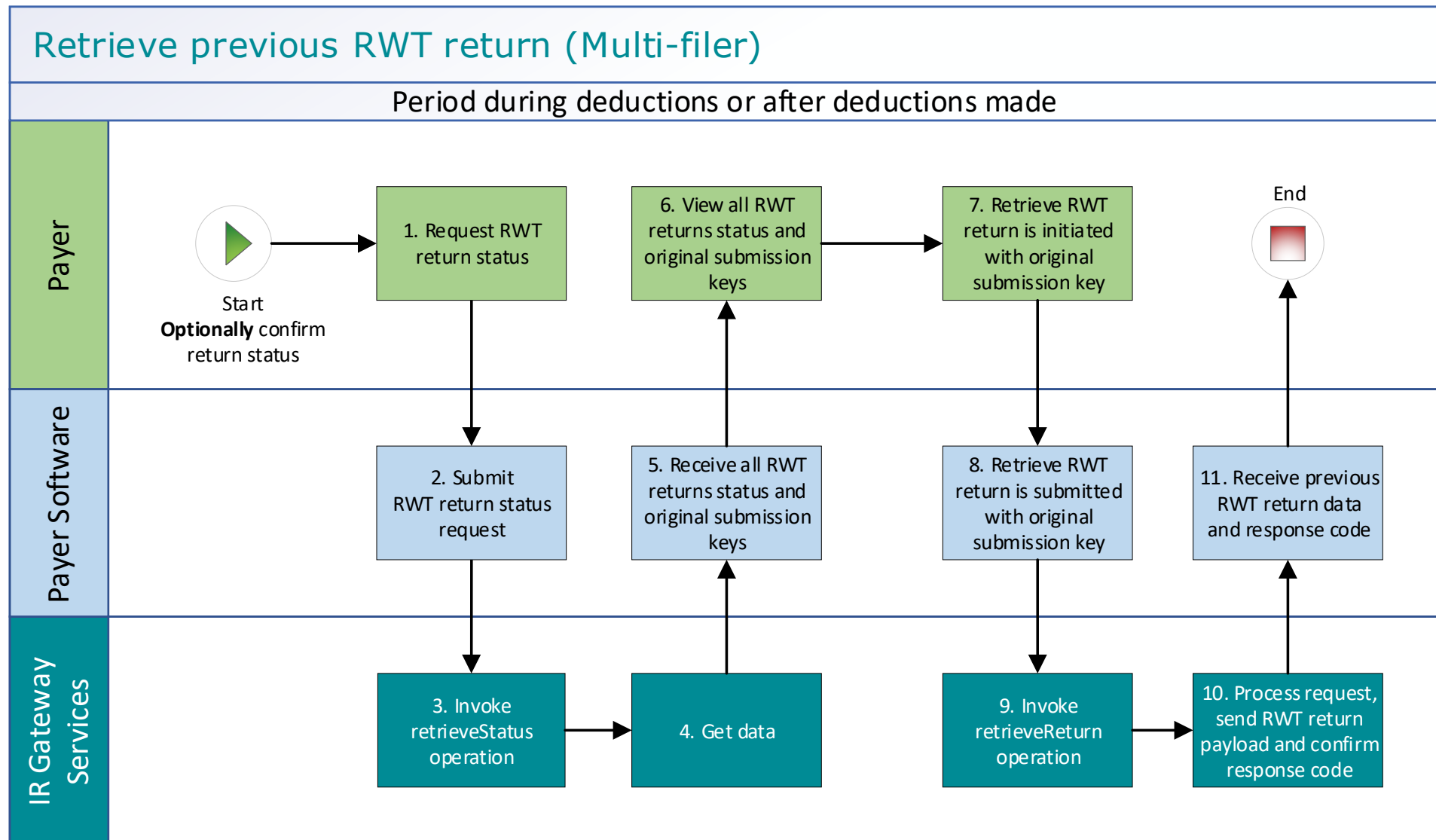


**Use Case 07 details - RWT return reassessment – retrieve return (Single filer)**

<b>Primary actor</b>	Payer
<b>Secondary actors</b>	Payer software Returns service
<b>Description</b>	<ul style="list-style-type: none"> <li>• Payer determines a return reassessment is required an amendment is required for a previously filed RWT return for a specific period</li> <li>• Payer submits a retrieve return request to retrieve all line items from a previously file RWT return.</li> </ul>
<b>Pre-conditions</b>	<ul style="list-style-type: none"> <li>• Payer is authenticated, authorised and logged into Payer software.</li> <li>• Payer is enrolled for an RWT account as a single filer.</li> <li>• Payer pays investors interest on their investment accounts and deducts withholding tax on the interest.</li> <li>• Payer has filed a RWT return for a previous period for all investors including single and joint account holders.</li> </ul>
<b>Post-conditions</b>	<ul style="list-style-type: none"> <li>• Payer’s request is accepted and responded to.</li> </ul>
<b>Constraints</b>	<ul style="list-style-type: none"> <li>• The request must be sent using the Payer software.</li> <li>• As a single filer the payer can either provide <ul style="list-style-type: none"> <li>○ the payer’s ird number, the account type stated as RWT and period end date or</li> <li>○ the submission key from a previously filed RWT return.</li> </ul> </li> </ul>
<b>Use case scenarios</b>	
<b>1. Normal flow</b>	<p>1.1 Payer initiates the request to retrieve a previous RWT return.</p> <p>1.2 Payer software submits a retrieve RWT return for a specified period.</p> <p>1.3 Returns service <i>retrieveReturn</i> operation is invoked.</p> <p>1.4 Returns service collates the RWT return data.</p> <p>1.5 Returns service responds with a response code of “0” (success) and the RWT return data payload for the specified period.</p> <p>1.6 Payer software receives the response code and the RWT return data payload.</p> <p>1.7 Use case ends.</p>
<b>2. Exception Flow – message fails schema or other validation</b>	<p>2.1 Payer initiates the request to retrieve a previous RWT return.</p> <p>2.2 Payer software submits a retrieve RWT return for a specified period.</p> <p>2.3 Returns service <i>retrieveReturn</i> operation is invoked.</p> <p>2.4 Returns service processes and invalidates the request due to one or more reasons including <ul style="list-style-type: none"> <li>• Unrecognised XML request</li> <li>• XML request failed validation</li> <li>• data invalidations e.g period end date is not a date that exists e.g. 31st September.</li> </ul> </p> <p>2.5 Returns service returns an error response to the Payer software; with one or more error codes. (Please see section 5.1 and 5.2 for the response codes in Returns service build pack - III)</p>

	<p>2.6 Payer software receives the error response code for the RWT return.</p> <p>2.7 Use case ends.</p>
<b>3. Exception Flow – Payer is not registered for service</b>	<p>3.1 Payer is not registered for the 'Returns' service.</p> <p>3.2 Identity and access services returns an error response to the Payer software due to</p> <ul style="list-style-type: none"> <li>• Unauthorised access</li> <li>• Unauthorised delegation</li> </ul> <p>3.3 Use case ends.</p>
<b>4. Exception – Payer is not Authorised to use Service</b>	<p>4.1 The payer is valid, however doesn't have the correct permissions to use this service.</p> <p>4.2 Returns service fails to authorise the payer and returns an error response to the Payer software (please refer section 5 'Response codes' in the Returns service build pack - III) due to</p> <ul style="list-style-type: none"> <li>• Unauthorised delegation</li> <li>• Unauthorised vendor</li> <li>• Account type not supported</li> </ul> <p>4.3 Payer software displays the error message</p> <p>4.4 Payer views the error message</p> <p>4.5 Use case ends.</p>
<b>5. Exception – Authentication token is expired</b>	<p>5.1 Identity and access services validates and finds the authentication token has expired.</p> <p>5.2 Identity and access services returns an error response to the Payer software for the authentication failure (please refer section 2 in the <a href="#">Identity and Access Services build pack</a>).</p> <p>5.3 Identity and access services validate credentials and generates a new token.</p> <p>5.4 Identity and access services records a new token generation request.</p> <p>5.5 Use case ends.</p>

## Use Case 08: RWT return reassessment – retrieve return (Multi-filer)



## Use Case 08 details - RWT return reassessment – retrieve return (Multi-filer)

<b>Primary actor</b>	Payer
<b>Secondary actors</b>	Payer software Returns service
<b>Description</b>	<ul style="list-style-type: none"> <li>• Payer determines a return reassessment is required an amendment is required for a previously filed RWT return for a specific period</li> <li>• Optionally - payer retrieves RWT return status for the specified period to confirm the submission key,</li> <li>• Payer submits a retrieve return request to retrieve all line items from a previously file RWT return.</li> </ul>
<b>Pre-conditions</b>	<ul style="list-style-type: none"> <li>• Payer is authenticated, authorised and logged into Payer software.</li> <li>• Payer is enrolled for an RWT account as a multi-filer.</li> <li>• Payer pays investors interest on their investment accounts and deducts withholding tax on the interest.</li> <li>• Payer has filed a RWT return for a previous period for all investors including single and joint account holders.</li> </ul>
<b>Post-conditions</b>	<ul style="list-style-type: none"> <li>• Payer’s request is accepted and responded to.</li> </ul>
<b>Constraints</b>	<ul style="list-style-type: none"> <li>• The request must be sent using the Payer software.</li> <li>• As a multi-filer the payer must provide a submission key from a previously filed RWT return in order to retrieve the return.</li> </ul>
<b>Use case scenarios</b>	
<b>1.11. Normal flow</b>	<p><b>Optional process</b> to confirm the payer RWT return status</p> <ol style="list-style-type: none"> <li>1.1 Payer initiates a status request of the RWT return for the specified period.</li> <li>1.2 Payer software requests the status of the previously filed RWT return using either the period end date or the submission key allocated to that RWT return.</li> <li>1.3 Returns service ‘RetrieveStatus’ operation is invoked.</li> <li>1.4 Returns service responds with a response code of “0” (success), the status of the previously filed RWT return and the original submission key.</li> <li>1.5 Payer software receives the response code and the original submission key for the RWT return.</li> <li>1.6 Payer views the status of the requested RWT return.</li> </ol> <p><b>Process</b> to request the previous RWT return</p> <ol style="list-style-type: none"> <li>1.7 Payer initiates the request to retrieve a previous Payer RWT return using the original submission key.</li> <li>1.8 Payer software submits a retrieve RWT return with the original submission key.</li> <li>1.9 Returns service ‘retrieveReturn’ operation is invoked.</li> <li>1.10 Returns service collates the RWT return data.</li> <li>1.11 Returns service responds with the RWT return data payload for the specified period and response code of “0” (success).</li> <li>1.12 Payer software receives the response code and the RWT return data payload.</li> <li>1.13 Use case ends.</li> </ol>



<p><b>2. Exception Flow – Invalid request</b></p>	<p>2.1 Payer initiates the request to retrieve a previous RWT return.</p> <p>2.2 Payer software submits a retrieve RWT return for a specified period.</p> <p>2.3 Returns service <i>'retrieveReturn'</i> operation is invoked.</p> <p>2.4 Returns service processes and invalidates the request due to one or more reasons including</p> <ul style="list-style-type: none"> <li>• Unrecognised XML request</li> <li>• XML request failed validation</li> </ul> <p>2.5 Returns service returns an error response to the Payer software; with one or more error codes. (Please see section 5.1 and 5.2 for the response codes in Returns service build pack - III)</p> <p>2.6 Use case ends.</p>
<p><b>3. Exception Flow – Payer is not registered for service</b></p>	<p>3.4 Payer is not registered for the 'Returns' service.</p> <p>3.5 Identity and Access service returns an error response to the Payer software due to</p> <ul style="list-style-type: none"> <li>• Unauthorised access</li> <li>• Unauthorised delegation</li> </ul> <p>3.6 Use case ends.</p>
<p><b>4. Exception – Payer is not Authorised to use Service</b></p>	<p>4.1 The payer is valid, however doesn't have the correct permissions to use this service.</p> <p>4.2 Returns service fails to authorise the payer and returns an error response to the Payer software (please refer section 5 'Response codes' in the Returns service build pack - III) due to</p> <ul style="list-style-type: none"> <li>• Unauthorised delegation</li> <li>• Unauthorised vendor</li> <li>• Account type not supported</li> </ul> <p>4.3 Payer software displays the error message</p> <p>4.4 Payer views the error message</p> <p>4.5 Use case ends.</p>
<p><b>5. Exception – Authentication token is expired</b></p>	<p>5.1 Identity and access services validates and finds the authentication token has expired.</p> <p>5.2 Identity and access services returns an error response to the Payer software for the authentication failure (please refer section 2 in the <a href="#">Identity and Access Services build pack</a>).</p> <p>5.3 Identity and access services validate credentials and generates a new token.</p> <p>5.4 Identity and access services records a new token generation request.</p> <p>5.5 Use case ends.</p>