Payday Filing

Employee Details and Employment Information Business use cases

(Version 2 Release)

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Contents

Inland Revenue
Te Tari Taake

Payday filing – Employee Details & Employment Information business use cases

This document provides a selection of employee details and employment information use cases relevant to payday filing business outcomes.

How to use this document

These use cases show sequences that can be used to achieve a specific business outcome for Payday Filing when calling the service operations through Inland Revenue's gateway services.

- The Employment Service operations are used for submitting and retrieving Employee Details (ED)
- The Return Service - Employment Information operations are used for submitting and retrieving Employment Information (EI).

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

Additionally the processes described to invoke these operations should not inhibit innovation to combine calls across the gateway service to achieve the same outcome or solve business needs not described here.
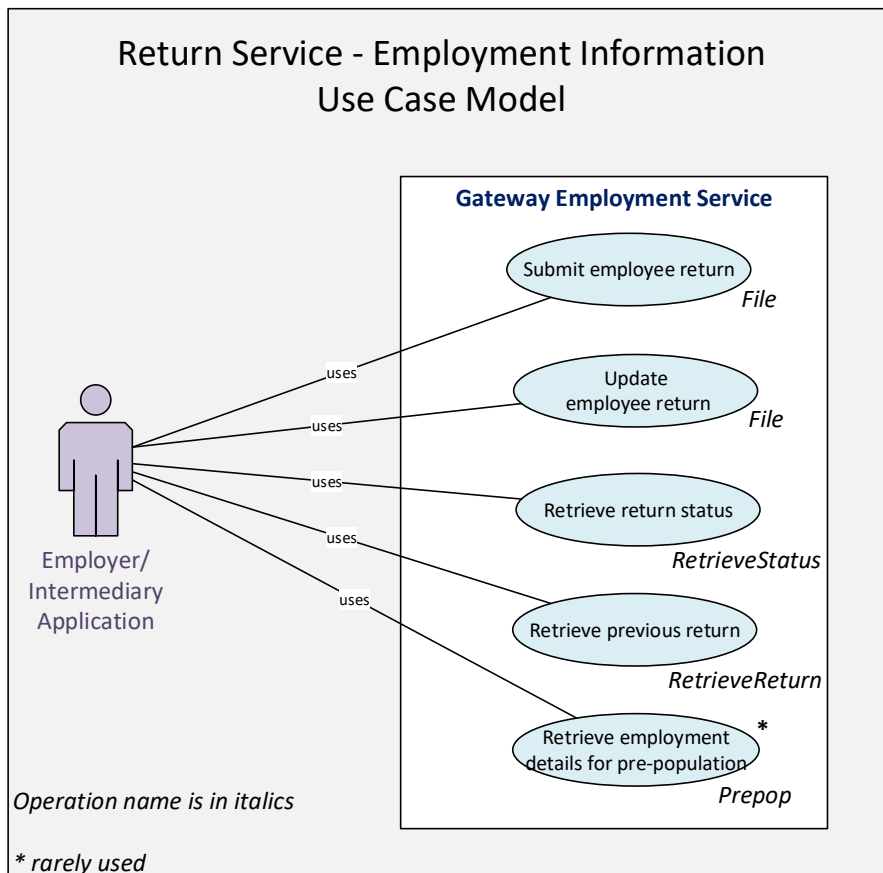
Summary of employee details use cases

#	Business use case	Employment Service operations				Return Service – Employment Information operations		
		Create	Update	Retrieve List	Terminate	File	Retrieve Status	Retrieve Return
1	Create employee details for employer	1						
2	Update employee details		1					
3	Submit departing employee details				1			
4	Retrieve and update employee details		2*	1				
5	File payday return					1		
6	Update previously submitted payday return					1		
7	Check payday return status					2*	1	
8	Retrieve payday return							1

*If there is a need to resubmit the details

Notes

1   The Employment Service is also referred to here as the ES, which creates and maintains employee details.

2   The Return Service - Employment Information is also referred to as the EI, which creates and maintains payday returns.

3   The linking/delinking between a tax agent with their client/s is excluded from the scope of Gateway Services. This action must be done using the existing online services channel.

4   The Pre-pop operation is not generally required for the Employment Information Service, so has not been covered here.

5   A pre-condition of these use cases is that the actor is authenticated and authorised. See the Identity and Access Management details here: https://www.ird.govt.nz/digital-service-providers/guides-and-docs/managing-myir-logons-for-gateway-services

6   The terms 'File return' and 'Submit return' are used interchangeably and represent the same intent of submitting a payday filing return.

Use Case Models

Employment Service Use Case Model

Gateway Employment Service

- Create new employment relationship
  Create
- Update employment relationship
  Update
- Retrieve employment relationships
  RetrieveList
- Terminate employment relationships
  Terminate

Employer/ Intermediary Application — uses → (use cases above)

Operation name is in italics

Return Service - Employment Information Use Case Model

Gateway Employment Service

- Submit employee return
  File
- Update employee return
  File
- Retrieve return status
  RetrieveStatus
- Retrieve previous return
  RetrieveReturn
- Retrieve employment details for pre-population *
  Prepop

Employer/ Intermediary Application — uses → (use cases above)
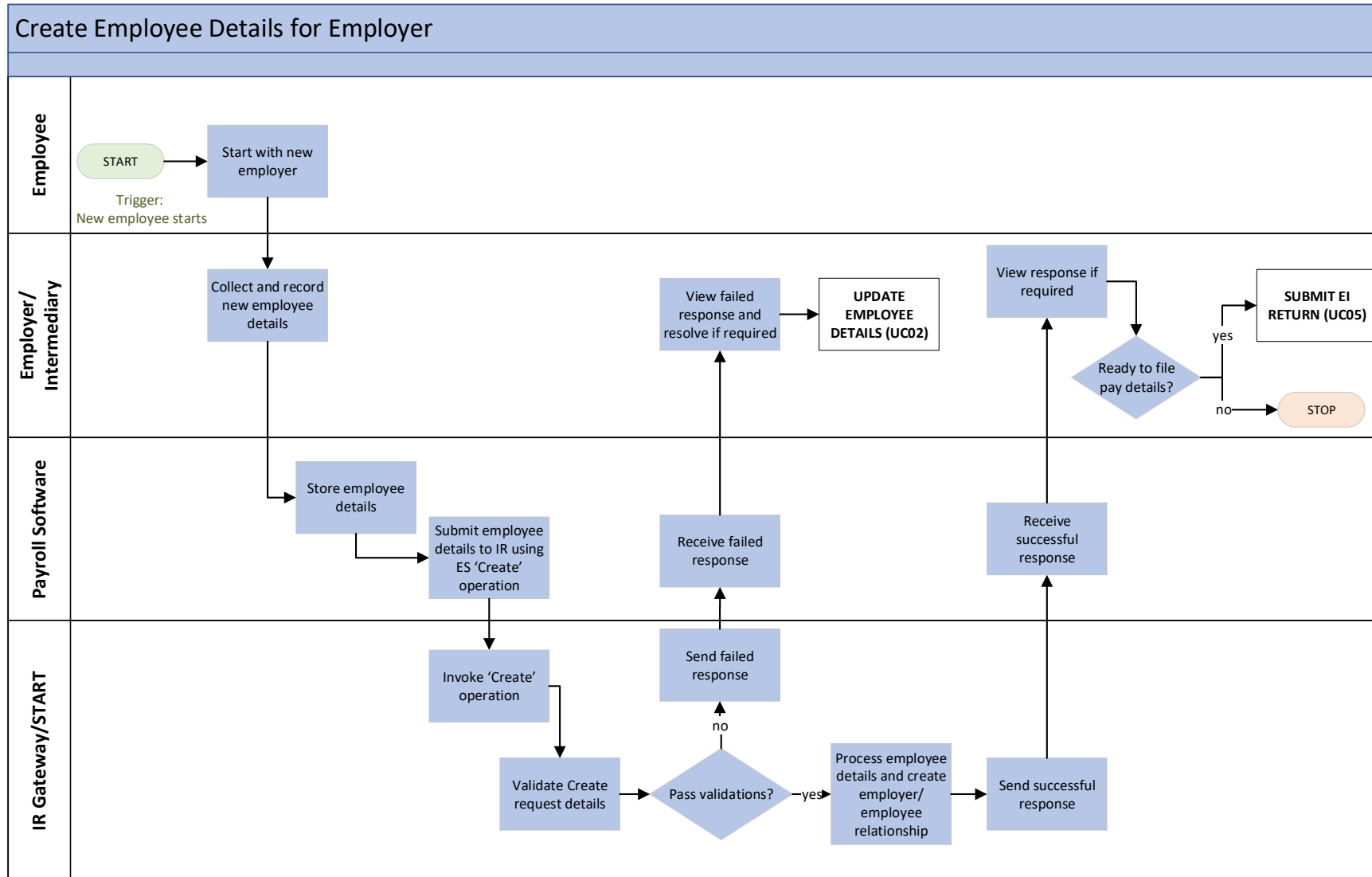
Operation name is in italics

* rarely used

Note:
Potential 'extends' relationships detailed in the use cases are not shown here.

IN CONFIDENCE

Use Case 01: Create Employee Details for Employer

*Details for a recently started employee are submitted and processed.*

Create Employee Details for Employer

Employee

- START
- Trigger: New employee starts
- Start with new employer

Employer / Intermediary

- Collect and record new employee details
- View failed response and resolve if required
- UPDATE EMPLOYEE DETAILS (UC02)
- View response if required
- Ready to file pay details?
  - yes → SUBMIT EI RETURN (UC05)
  - no → STOP

Payroll Software

- Store employee details
- Submit employee details to IR using ES 'Create' operation
- Receive failed response
- Receive successful response

IR Gateway/START

- Invoke 'Create' operation
- Validate Create request details
- Pass validations?
  - no → Send failed response
  - yes → Process employee details and create employer/ employee relationship
- Send successful response

IN CONFIDENCE

Use Case 01: Create Employee Details for Employer

Trigger: A new employee has started with the employer.

Actor	• Employer/Intermediary
Secondary Actor	• Payroll software/Employer-Intermediary application • Employment service • Returns service – Employment Information
Description	• Employee details for a new employee are submitted followed by the filing of Employment Information return. • This creates the employer-employee relationship and submits the first pay details.
Pre-Conditions	• Actor is authenticated, authorised and logged-in to third party software • Actor is enrolled for "Employment Activities" service • Actor is registered for PAYE • Actor has a new employee
Post-Conditions	• Actor's request is accepted and responded to
Constraints	• The request must be sent using a third party's payroll software • Requests received can only be for one employer IRD number at a time • Requests received can only be for one employee IRD number at a time

Use Case Scenarios	
1. Normal Flow	1.1 Actor record new employee details for a recently joined employee. 1.2 Payroll software submits the new employee details. 1.3 Employment service 'Create' operation is invoked. 1.4 Employment service validates the request. If pass validations then continue, Else **2. Exception Flow: ES Fails Validations.** 1.5 Employment service processes the new employee details. 1.6 Employment service responds with confirmation that the new employee details have been filed successfully for that employer. 1.7 If payday return data is ready to file: **Extend to use case 05: File Payday Return** 1.8 Use Case ends.
2. Exception Flow – ES Fails Validations	2.1 Employment Service returns a response code with error message 2.2 If changes are required: **Extend to use case 02: Update Employee Details** 2.3 Use Case ends.

![Inland Revenue Te Tari Taake]

Use Case 02: Update Employee Details

Updated employee details are submitted and processed.
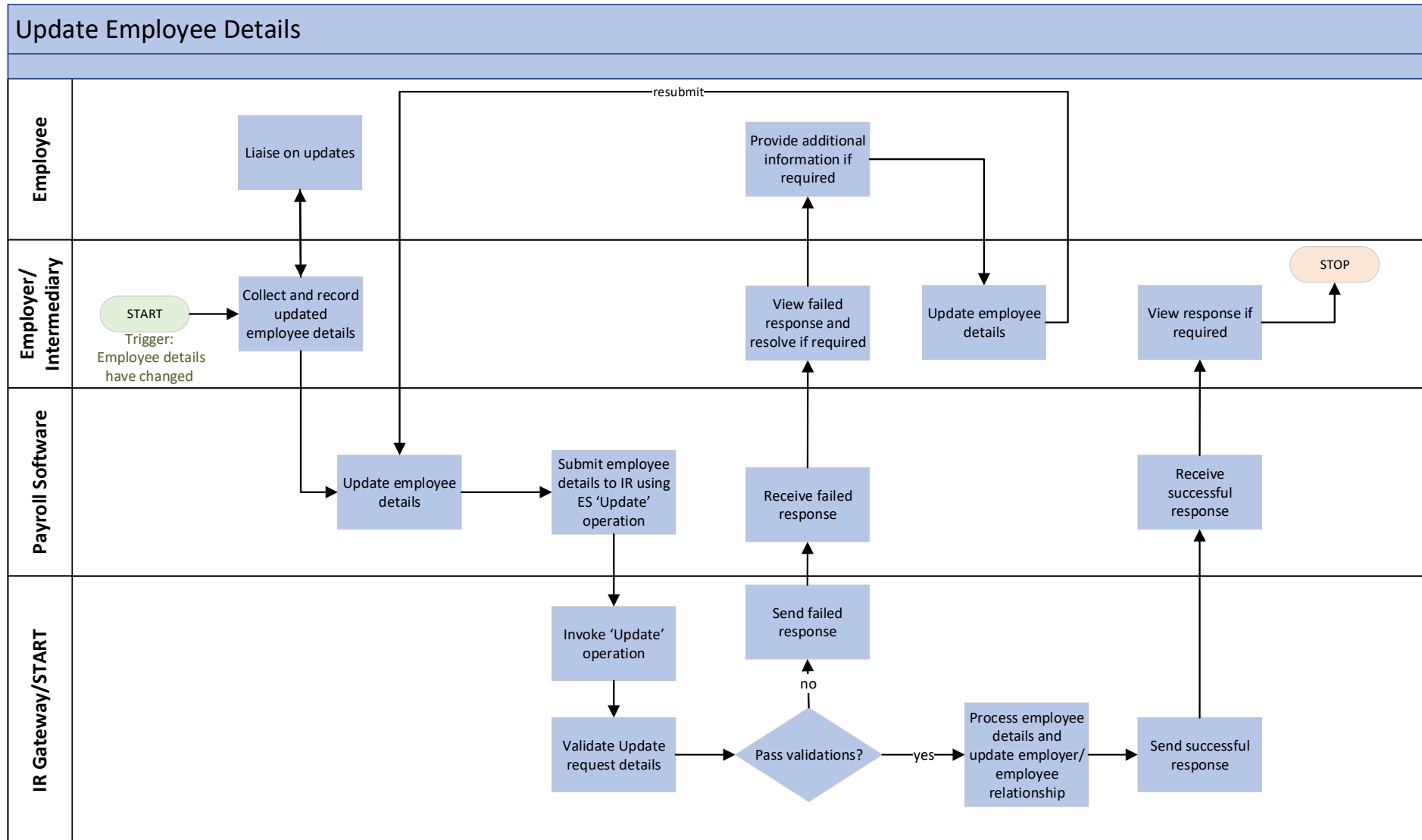
Use Case 02: Update Employee Details

Trigger: Some employee details have changed since previously update to IR.

User/Actor	• Employer/Intermediary
Secondary Actor	• Payroll software/Employer-Intermediary application • Employment service
Description	• An employer notifies IR of a change to employee details via the Employment Service.
Pre-Conditions	• Actor is authenticated, authorised and logged-in to third party software • Actor is enrolled for "Employment Activities" service • Actor is registered for PAYE • Actor has some employee details that have changed.
Post-Conditions	• Actor's request is accepted and responded to
Constraints	• The request must be sent using a third party's payroll software • Requests received are only for one employer IRD number at a time • Requests received are only for one employee IRD number at a time
Use Case Scenarios	

1. Normal Flow	1.1 Actor updates the employee details for an existing employee.
	
	1.2 Payroll software submits the updated employee details.
	
	1.3 Employment service '*Update*' operation is invoked.
	
	1.4 Employment service validates the request.
	
	  If pass validations then continue,
	
	  else **2. Exception Flow: ES Fails Validations.**
	
	1.5 Employment service processes the employee detail updates.
	
	1.6 Employment service responds with confirmation that the employee details have been filed successfully.
	
	1.7 Use Case ends.

2. Exception Flow – ES Fails Validations	2.1 Employment Service returns a response code with error message 2.2 If required, return to step 1.1 to resubmit employee details 2.2 Use Case ends.

Examples of some common ES failed validations are:

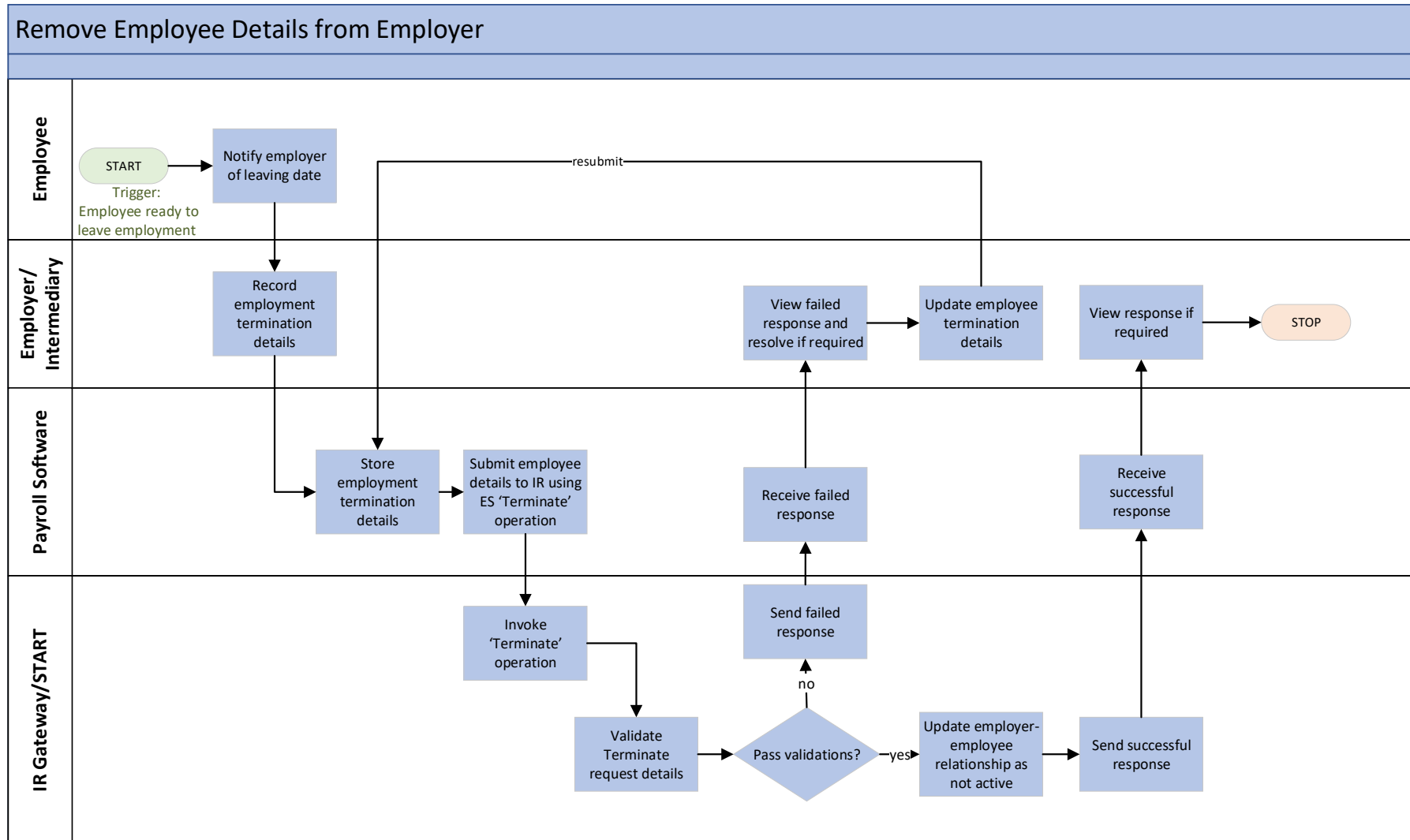Code 101: The provided information did not match with any employment relationship

Code 102: the provided information was not specific enough to match with a single employment relationship

Code 104: the specified account has no employees.

See Build Pack for all validation codes.

Use Case 03: Remove Employee Details from Employer

An employee is departing; submit and process their removal from that employer.

Remove Employee Details from Employer

Employee

START
Trigger: Employee ready to leave employment

Notify employer of leaving date

resubmit

Employer / Intermediary

Record employment termination details

View failed response and resolve if required

Update employee termination details

View response if required

STOP

Payroll Software

Store employment termination details

Submit employee details to IR using ES 'Terminate' operation

Receive failed response

Receive successful response

IR Gateway/START

Invoke 'Terminate' operation

Validate Terminate request details

Send failed response

Pass validations?

no

yes

Update employer-employee relationship as not active

Send successful response

Use Case 03: Remove Employee Details from Employer

Trigger: Employee is departing and will no longer be employed by this employer.

Actor	• Intermediary/Employer
Secondary Actor	• Payroll software/Employer-Intermediary application • Employment service
Description	• An employer submits employee details to notify IR of a departed/departing employee via the Employment Service.
Pre-Conditions	• Actor is authenticated, authorised and logged-in to third party software • Actor is enrolled for "Employment Activities" service • Actor is registered for PAYE • Actor has filed the last payday return for the employee
Post-Conditions	• Actor's request is accepted and responded to
Constraints	• The request must be sent using a third party's payroll software • Requests received can only be for one employer IRD number at a time • Requests received can only be for one employee at a time • Actor has an employee that is terminating employment
Use Case Scenarios	
1. Normal Flow	1.1 Actor records the finish date for the departed/departing employee. 1.2 Payroll software submits the departing employee details. 1.3 Employment service '*Terminate*' operation is invoked. 1.4 Employment service validates the request. If pass validations then continue, else **2. Exception Flow: ES Fails Validations.** 1.5 Employment service processes the departing employee details, so that the employee is no longer recorded with an active relationship to that employer. 1.6 Employment service responds with confirmation that the departing employee details has been filed successfully. 1.7 Use Case ends.
2. Exception Flow – ES Fails Validations	2.1 Employment Service returns a response code with error message 2.2 If required, return to step 1.1 to resubmit termination details 2.3 Use Case ends.

Examples of some common ES failed validations are:

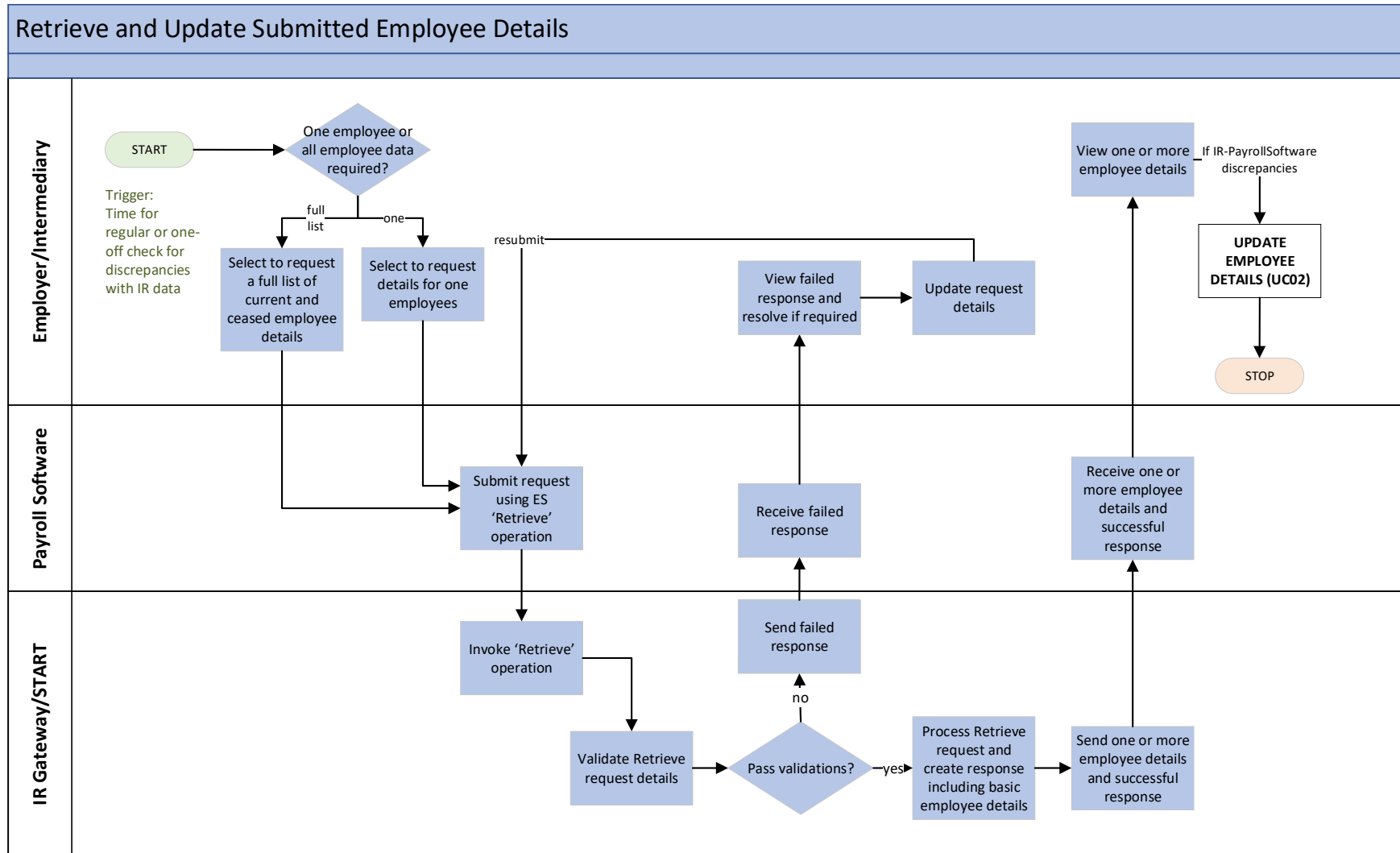Code 101: The provided information did not match with any employment relationship

Code 102: the provided information was not specific enough to match with a single employment relationship

Code 104: the specified account has no employees.

See Build Pack for all validation codes.

Use Case 04: Retrieve and Update Submitted Employee Details

Employee details as held at IR are retrieved and checked for discrepancies, then updated if required.

Retrieve and Update Submitted Employee Details

Employer/Intermediary

START

Trigger: Time for regular or one-off check for discrepancies with IR data

One employee or all employee data required?

full list → Select to request a full list of current and ceased employee details

one → Select to request details for one employees

resubmit

View failed response and resolve if required → Update request details

View one or more employee details — If IR-PayrollSoftware discrepancies

UPDATE EMPLOYEE DETAILS (UC02)

STOP

Payroll Software

Submit request using ES 'Retrieve' operation

Receive failed response

Receive one or more employee details and successful response

IR Gateway/START

Invoke 'Retrieve' operation

Validate Retrieve request details → Pass validations? — no → Send failed response

Pass validations? — yes → Process Retrieve request and create response including basic employee details → Send one or more employee details and successful response

Use Case 04: Retrieve and Update Submitted Employee Details

Trigger: A check is required for any discrepancies between IR records and intermediary/employer payroll system records.

Actor	• Employer/Intermediary
Secondary Actor	• Payroll software/Employer-Intermediary application • Employment service
Description	• Actor requests previously filed employee details • Actor updates employee details via the Employment Service.
Pre-Conditions	• Actor is authenticated, authorised and logged-in to third party software • Actor is enrolled for "Employment Activities" service • Actor is registered for PAYE • Actor wants to check for discrepancies between their payroll system and IR for some employees
Post-Conditions	• Actor's request is accepted and responded to
Constraints	• The request must be sent using a third party's payroll software • Requests received can only be for one employer IRD number at a time • Only one *new* Employment Information per paydate per legal entity (there is no limitation on the number of amendments)

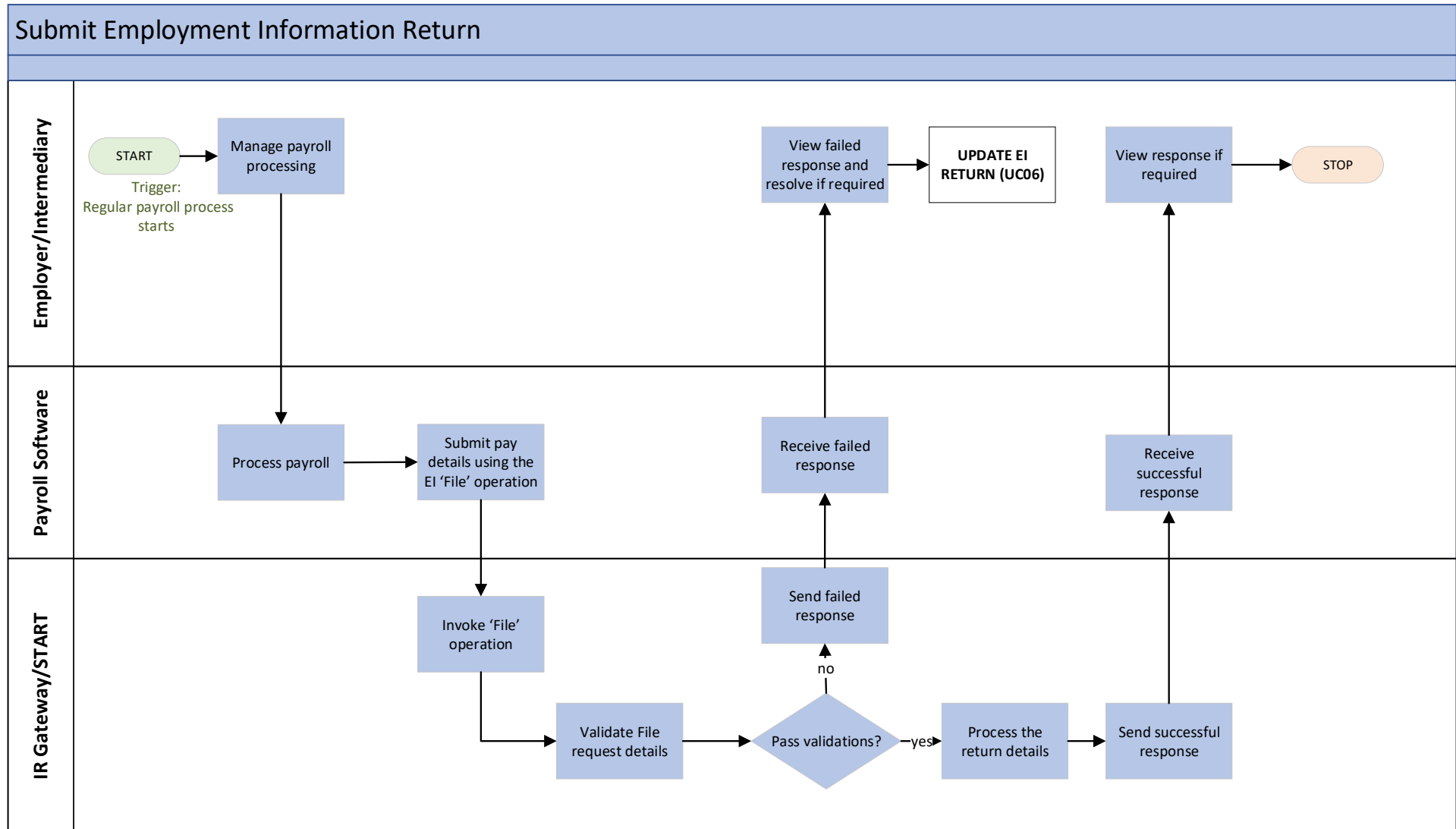| **Use Case Scenarios**	
1. Normal Flow	1.1 Actor requests the full list of current and ceased employee details as held at IR. If only employee details for one employee is required: **3. Alternate Flow: Retrieve one employee's details** 1.2 Payroll software requests full list of employees. 1.3 Employment service '*RetrieveList*' operation is invoked. 1.4 Employment service validates the Employee Details. If pass validations then continue, else **2. Exception Flow: ES Fails Validations**. 1.5 Employment service processes the Retrieve List request. 1.6 Employment service responds with the basic employee details for each current and ceased employees for that employer. 1.7 Actor compares the returned list and their Payroll System details and notes discrepancies. 1.8 **Extend to use case 02: Update Employee Details**, to update any employee details discrepancies held at IR. 1.9 Use Case ends.

2. Exception Flow: ES Fails Validations	2.1	Employment Service returns a response code with error message
	2.2	If required, return to step 1.1 to resubmit request details
	2.3	Use Case ends.
3. Alternate Flow: Retrieve one employee's details	3.1	Actor requests one employee's details as held at IR.
	3.2	Payroll software requests specified employee details.
	3.3	Employment service '*RetrieveList*' operation is invoked.
	3.4	Employment service validates the Employee Details.
	3.5	If pass validations then continue, else **2. Exception Flow: ES Fails Validations**.
	4	Employment service processes the Retrieve List request.
	5	Employment service responds with the basic employee details for the requested employee.
	5.2	Continue from **Normal Flow: step 1.7**

Example of a common ES failed validations are:
Code 104: the specified account has no employees.

IN CONFIDENCE

Use Case 05: Submit Employment Information Return

Submit pay details for payday filing of return.

Submit Employment Information Return

Employer/Intermediary

START
Trigger: Regular payroll process starts → Manage payroll processing

View failed response and resolve if required → **UPDATE EI RETURN (UC06)**

View response if required → STOP

Payroll Software

Process payroll → Submit pay details using the EI 'File' operation

Receive failed response

Receive successful response

IR Gateway/START

Invoke 'File' operation → Validate File request details → Pass validations? — no → Send failed response

Pass validations? — yes → Process the return details → Send successful response

IN CONFIDENCE

Use Case 05: Submit Employment Information Return

Submit and process an Employment Information return.

Actor	• Employer/Intermediary
Secondary Actor	• Payroll software/Employer-Intermediary application • Return Service - Employment Information
Description	• Submit an Employment Information return containing pay details for one or more employees.
Pre-Conditions	• Actor is authenticated, authorised and logged-in to third party software • Actor is enrolled for 'Employment Activities' service • Actor is registered for PAYE • Actor has new payday information for one or more employees
Post-Conditions	• Actor's request is accepted and responded to
Constraints	• The request must be sent using a third party's payroll software • Requests received can only be for one employer IRD number at a time

Use Case Scenarios		
1. Normal Flow	1.1	Actor records payday details for the next pay period for one or more employees.
	1.2	Payroll software submits the completed Employment Information for all relevant employees.
	1.3	Employment Information service '*File*' operation is invoked.
	1.4	Employment Information service validates the details
	1.5	If pass validations then continue, **else 2. Exception Flow: EI Fails Validations.**
	1.6	Employment Information service processes the updated return details.
	1.7	A response confirms that the Employment Information has been filed successfully; this response includes the unique Submission Key.
	1.8	Use Case ends.
2. Exception Flow – EI Fails Validations	2.1	Employment Information returns a response code with error message
	2.2	If required, update and resubmit return: **Extend to use case 06: Update Employment Information Return**
	2.3	Use Case ends.

Examples of some common failed validations are:
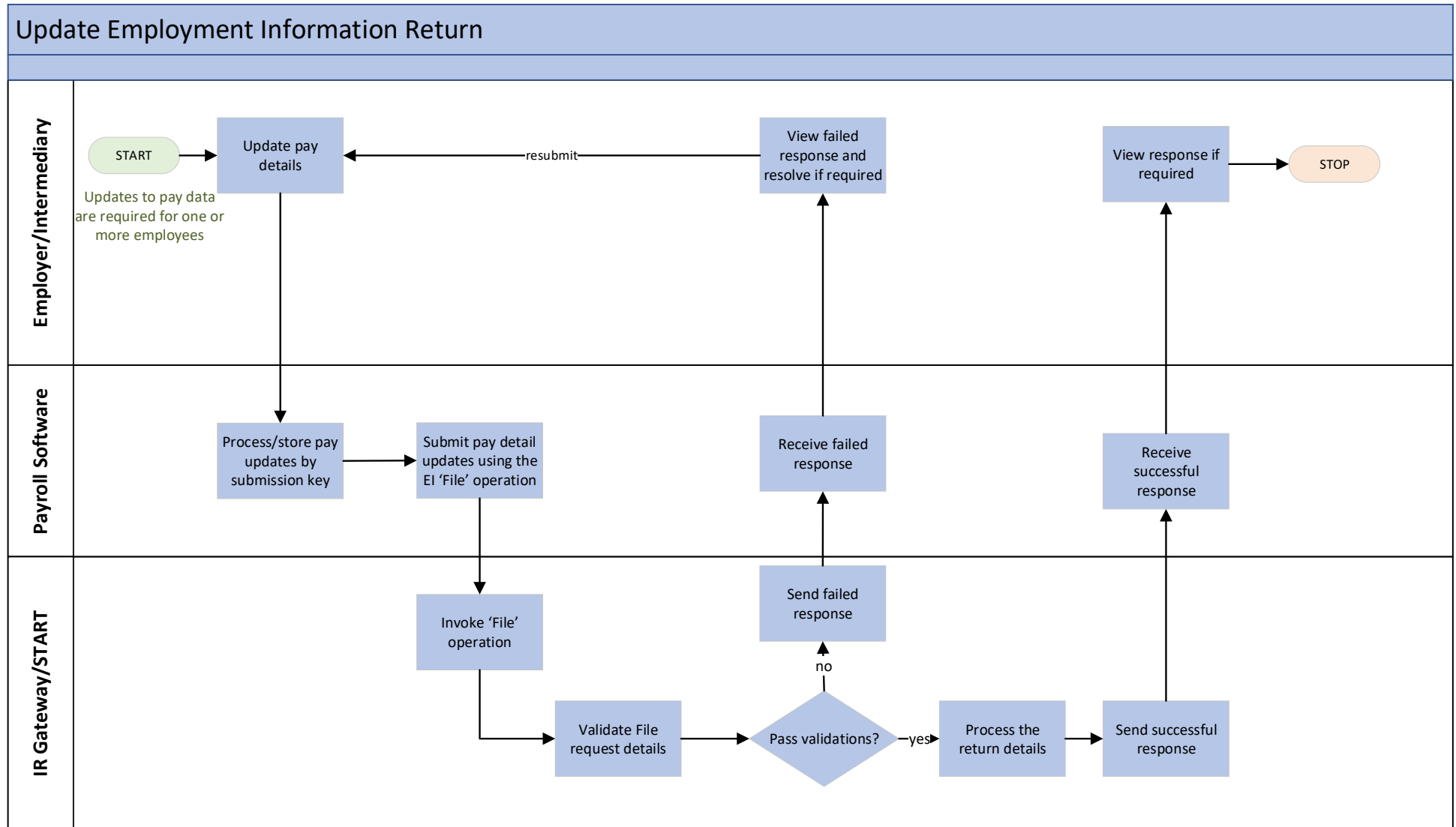Code 134: Invalid employee IRD number
Code 161: Payday date not in filing period

See Build Pack for all validation codes.

Use Case 06: Update Employment Information Return
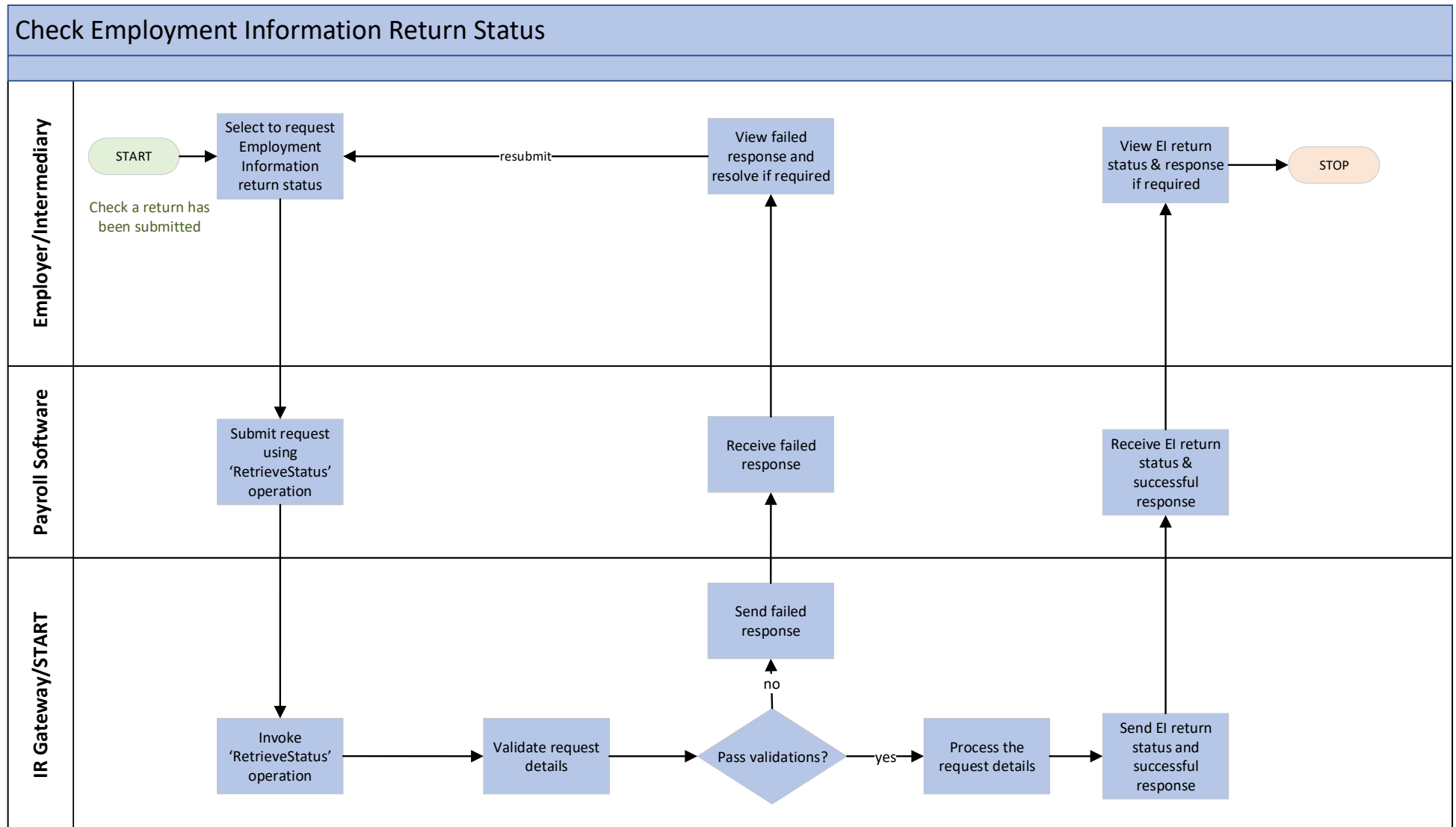
Update previously submitted pay details on a return.

Update Employment Information Return

Use Case 06: Update Employment Information Return

Trigger: Actor has payday information that requires updates for one or more employees

Use case:	
Actor	• Employer/Intermediary
Secondary Actor	• Payroll software- Employer-Intermediary application • Employment Information service
Description	• Submission of an update to a previously submitted Employment Information return.
Pre-Conditions	• Actor is authenticated, authorised and logged-in to third party software • Actor is enrolled for 'Employment Activities' service • Actor is registered for PAYE
Post-Conditions	• Actor's request is accepted and responded to
Constraints	• The request must be sent using a third party's payroll software • Requests received can only be for one employer IRD number at a time
Use Case Scenarios	
1. Normal Flow	1.1 Actor records updates to payday details for a previously submitted Employment Information return identified by the submission key, for one or more employees. 1.2 Payroll software submits the updated Employment Information details. 1.3 Employment Information service '*File*' operation is invoked. 1.4 Employment Information service validates the details If pass validations then continue, else **2. Exception Flow: EI Fails Validations.** 1.5 Employment Information service processes the updated return details. 1.6 A response confirms that the Employment Information update has been filed successfully; this response includes the unique Submission Key. 1.7 Use Case ends.
2. Exception Flow – EI Fails Validations	2.1 Employment Information returns a response code with error message 2.2 If required, return to step 1.1 to resubmit 2.2 Use Case ends.

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Use Case 07: Check Employment Information return status

Check status of an Employment Information return.

Check Employment Information Return Status

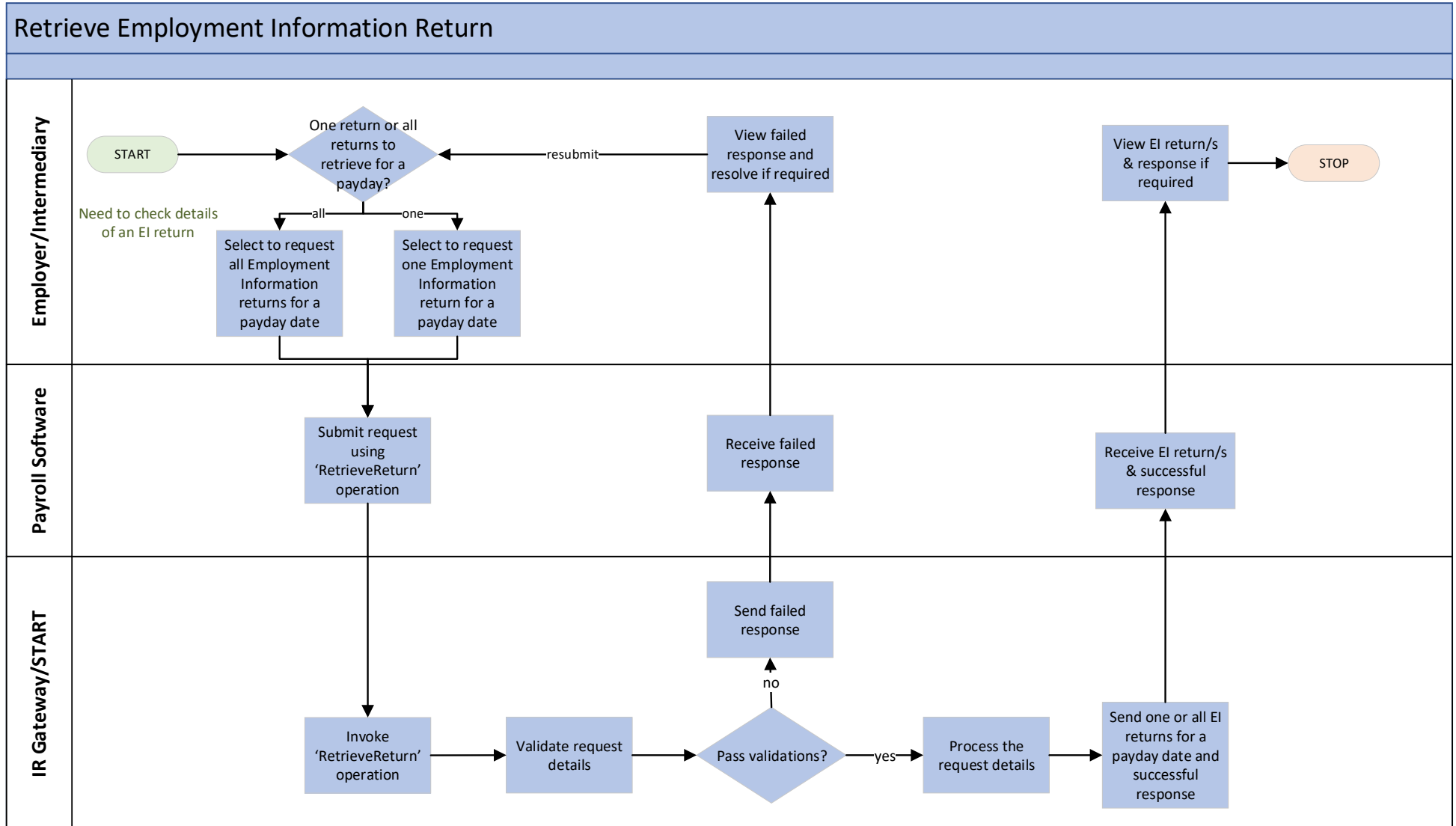|	
Employer/Intermediary	START → Select to request Employment Information return status ←resubmit— View failed response and resolve if required View EI return status & response if required → STOP
	Check a return has been submitted
Payroll Software	Submit request using 'RetrieveStatus' operation Receive failed response Receive EI return status & successful response
IR Gateway/START	Invoke 'RetrieveStatus' operation → Validate request details → Pass validations? —no→ Send failed response / —yes→ Process the request details → Send EI return status and successful response

Use Case 07: Check Employment Information return status

Trigger: Unclear if a return has been submitted or there is a problem with a return that was submitted.

Actor	• Employer/Intermediary/Software Developer
Secondary Actor	• Payroll software/Employer-Intermediary application • Return service - Employment Information
Description	• Retrieve the status of for one previously submitted Employment Information return, to check it has been submitted or for trouble-shooting.
Pre-Conditions	• Actor is authenticated, authorised and logged-in to third party software • Actor is enrolled for 'Employment Activities' service • Actor is registered for PAYE
Post-Conditions	• Actor's request is accepted and responded to
Constraints	• The request must be sent using a third party's payroll software • Requests received can only be for one employer IRD number at a time • Requests received can only be for one employee IRD number at a time

Use Case Scenarios		
1. Normal Flow	1.1	Actor requests the status of an Employment Information return to check if it has been processed, or to find out the status if there is a problem with it.
	1.2	Payroll software submits the request to retrieve the status.
	1.3	Employment Information service *'RetrieveStatus'* operation is invoked.
	1.4	Employment Information service validates the details
	1.5	If pass validations then continue, **Else 2. Exception Flow: EI Fails Validations**
	1.6	Employment Information service processes the request.
	1.7	Employment Information service responds with the status of the Employment Information return: this response includes the unique Submission Key
	1.8	Use case ends.
2. Exception Flow – EI Fails Validations	2.1	Employment Information returns a response code with error message
	2.2	If required, return to step 1.1 to resubmit
	2.3	Use case ends.

Use Case 08: Retrieve Employment Information Return

Retrieve one or more previously submitted Employment Information returns.

Retrieve Employment Information Return

Employer/Intermediary

START

Need to check details of an EI return

One return or all returns to retrieve for a payday?

— all — / — one —

Select to request all Employment Information returns for a payday date

Select to request one Employment Information return for a payday date

resubmit

View failed response and resolve if required

View EI return/s & response if required

STOP

Payroll Software

Submit request using 'RetrieveReturn' operation

Receive failed response

Receive EI return/s & successful response

IR Gateway/START

Invoke 'RetrieveReturn' operation

Validate request details

Pass validations? — no — Send failed response

— yes — Process the request details

Send one or all EI returns for a payday date and successful response

IN CONFIDENCE

Use Case 08 Retrieve Employment Information Return

Trigger: Troubleshooting a return issue so checking return details as recorded at IR

Actor	• Employer/Intermediary/Software Developer
Secondary Actor	• Payroll software/ Employer-Intermediary application • Employment Information service
Description	• Retrieve the Employment Information return for a specific previously submitted return or all returns submitted for a particular payday date.
Pre-Conditions	• Actor is authenticated, authorised and logged-in to third party software • Actor is enrolled for 'Employment Activities' service • Actor is registered for PAYE
Post-Conditions	• Actor's request is accepted and responded to
Constraints	• The request must be sent using a third party's payroll software • Requests received can only be for one employer IRD number at a time • Requests received can only be for one employee IRD number or one payday date at a time
Use Case Scenarios	
1. Normal Flow	1.1 Actor requests the details of an Employment Information return using the payday date key to check the details recorded by IR. If only one return is required, use: **Alternate Flow 3: Retrieve Employment Information for one return** 1.2 Payroll software submits the request to retrieve the EI Return. 1.3 Employment Information service '*RetrieveReturn'* operation is invoked. 1.4 Employment Information service validates the details. 1.5 If pass validations then continue, **Else 2. Exception Flow: EI Fails Validations** 1.6 Employment Information service processes the request. 1.7 Employment Information service responds with all EI return details for the payday date. 1.8 Use case ends.
2. Exception Flow – EI Fails Validations	2.1 Employment Information returns a response code with error message 2.2 If required, return to step 1.1 to resubmit 2.3 Use case ends.

3. Alternate Flow – Retrieve EI Information for one return	3.1	Actor requests the details of an Employment Information return using the submission key for a specific return to check the details recorded by IR.
	3.2	Employment Information service validates the details.
	3.3	If pass validations then continue,
		Else 2. Exception Flow: EI Fails Validations
	3.4	Employment Information service processes the request.
	3.5	Employment Information service responds with the EI return details for the return.
	3.6	Use case ends.

IN CONFIDENCE