

Windstar International Tax Navigator® Interface for Banner Handbook

*Release 8.0
June 2008*



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| June 2008 | New version that supports Windstar International Tax Navigator® Interface for Banner 8.0 software |
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Think before you print.

Windstar International Tax Navigator Interface for Banner 8.0 Handbook

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Nonresident aliens who work in the United States are subject to federal income tax withholding on all income earned from U.S. sources. The tax rate depends on whether it is considered work-related income or classified as non-wages (such as interest, dividends etc.) Some nonresident aliens can reduce or completely eliminate their federal income tax withholding if they are residents of one of the many countries that the United States has tax treaties with.

Now in addition to setting up and specifying benefits/deductions for each individual, Banner Human Resources provides a means by which you can verify the accuracy of benefits/deductions set up in Banner. This is accomplished via a third party interface that takes into consideration an individual's resident status and their benefits or exemptions under a corresponding U.S. tax treaty. It is in this area that the Windstar International Tax Navigator system's functionality comes into effect.

The Windstar International Tax Navigator system has the capability to conduct a *Substantial Presence Test (SPT)* which evaluates an individual's Tax Residency status (NRA or RA), FICA exemptions, and consequently determine the benefits and/or exemptions he/she is entitled to, under the relevant U.S. Tax Treaty. This information can now be used to set up appropriate benefit/deduction codes in Banner Human Resources for foreign nationals employed by your institution.

The two-way interface facilitates the transfer of data between the Windstar International Tax Navigator and Banner. It enables you to:

- Export employee data from Banner to perform the Substantial Presence Test (SPT) and identify the related benefits/deductions that the individual is eligible for, as per the treaty analysis in the Windstar International Tax Navigator.
- Import data resulting from the SPT and treaty analysis in the Windstar International Tax Navigator and set up appropriate benefits/deductions for relevant individuals in Banner Human Resources.

System Requirements

Install the following minimum release of Windstar Tax Navigator™:

- Minimum Required Windstar Tax Navigator Release: 960f

Install the following minimum Banner product releases to use with the Windstar Interface:

- Banner Human Resources
Interface to Windstar International Tax Navigator Release: 8.0
- Minimum Required Banner General Release: 8.0
- Minimum Required Banner Position Control Release: 8.0
- Minimum Required Banner Human Resources Release: 8.0

2

Preparing for the Windstar Interface



This chapter provides instructions on how to:

1. Set up data in Banner for the Windstar interface
2. Export data from Banner into Windstar
3. Import data from Windstar to Banner

Process Flow

The entire data set up and transfer process between Banner and Windstar can be summarized into three main steps:

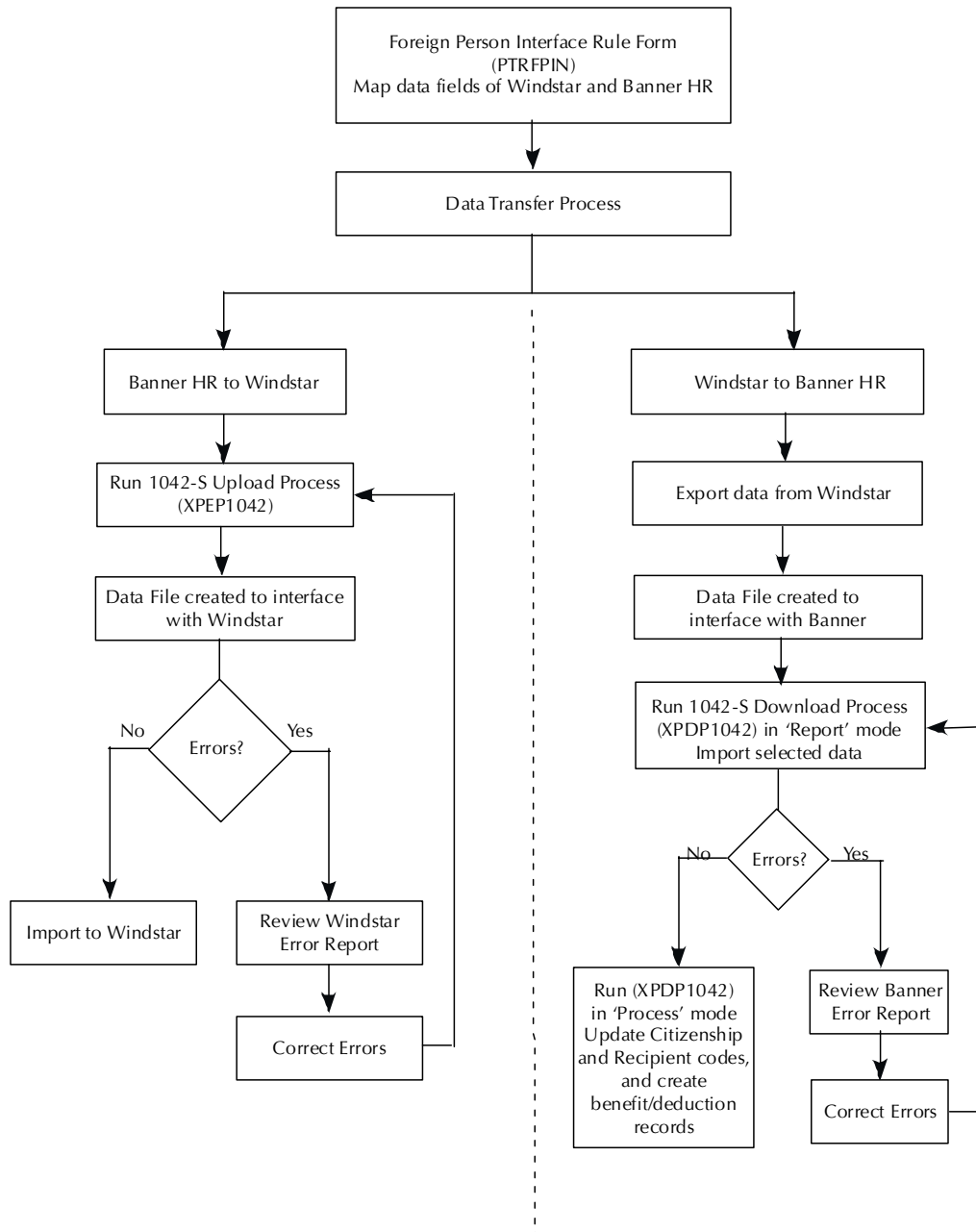
1. Setting up appropriate forms and data in Banner, in preparation for the upload process.

Refer to the Tax Administration Procedures in the *Human Resources User Guide* for detailed set up instructions.
2. Export data by means of an upload process from Banner for evaluation and analysis in the Windstar International Tax Navigator.
3. Import data from Windstar by means of a download process in Banner to set up and/or update citizenship, recipient, and benefits/deductions in Banner as per the analysis by the Windstar International Tax Navigator.

Note

Deduction Types 21 and 22 are for reporting of state tax withheld and exempt wages for states honoring tax treaties. SunGard Higher Education recommends implementing these deduction types at the beginning of the payroll tax year to simplify their utilization in relation to treaty deductions for states. If your site makes the transition after the first payroll of the tax year has been run, manual payroll adjustments have to be made to transfer State Deduction Type 04 amounts to the treaty State Deduction Type 21 along with any applicable treaty allowance for Deduction Type 22. See the Tax Code Rule Form (PXATXCD) and the Employee Benefit/Deduction Form (PDAEDN) for more information. ■

This is a diagrammatic presentation of the entire interface process. Detailed instructions to implement each step is provided in the following pages.



Data Set Up in Banner

To set up relevant data and forms in Banner in preparation for the data upload into Windstar:

1. Create or verify the U.S. Address and Foreign Address codes on the Address Type Code Validation Form (STVATYP) for use on the Crosswalk Validation Form (GTVSDAX).
2. Set up new Internal Codes for the 1042 U.S. and Foreign addresses used with the Windstar interface on the Crosswalk Validation Form (GTVSDAX).

 **Note**

For an example of the form setup, see the “*Crosswalk Validation Form (GTVSDAX)*” on page 3-2. ■

3. Set up **Citizenship** codes for Resident Alien (*RA*) and Non-resident Alien (*NRA*) on the Citizenship Type Code Validation Form (STVCITZ).
4. Create or verify 1042-S country codes on the Nation/Country Cross-Reference Rules Form (PTRNATN). These codes are used for treaty deduction setup and 1042-S reporting.
5. Create or verify EDI equivalent codes for states and provinces on the State/Province Code Validation Form (STVSTAT). These codes may be used in the person's address on the Identification Form (PPAIDEN) and thereby included in the upload process.
6. Verify or create new Benefit/Deduction Types 21 - State Tax-1042S Reportable and 22 - State Treaty Exempted, on the Benefit/Deduction Type Validation Form (PTVBDTY).
7. On the Tax Code Rule Form (PXATXCD),
 - Set up State Income Tax codes to be used with the new benefit/deduction types 21 and 22 for those states that honor federal treaties. Set up is similar to the regular state tax code(s).
 - Review Tax codes on PXATXCD to identify Income Code Subtypes for Scholarship and Fellowship awards, e.g., *FD15L* and *PA15L*. These provide a common link for data fields in Banner and Windstar International Tax Navigator.

 **Note**

See the “*Tax Code Rules Form (PXATXCD)*” on page 3-7 for more information. ■

8. Create **Country Code** filing status records for the new State Tax codes on the Tax Filing Status Rule Form (PXAFSTA). Specify the treaty allowance amount in the **Minimum YTD Gross** field.
9. On the Tax Setup Form (PXATAXS), enter the applicable Tax Percent or Graduated Tax Table on each combination of tax code and filing status defined on PXATXCD and PXAFSTA for the new State Tax codes created in *Steps 7 and 8*.
 - Enable automatic population of the **Option 3** field for federal treaty and federal income tax on the Employee Benefit/Deduction Form (PDAEDN), by performing the following steps:
 - 9.1. On the Tax Setup Form (PXATAXS), enter the Tax Code and Filing Status, and then select Next Block.
 - 9.2. Renumber any existing sequence numbers to allow for a new sequence number 1. Existing sequence numbers must remain in the same order, just with a one-up number from the original.
 - 9.3. Save the record.
 - 9.4. Now enter the sequence number *1* with the following values:

| Field | Value |
|---------------------------|-------------------------------------------------------------------|
| Option Code | 3 |
| Multiply/Add | <i>Multiply</i> |
| Amount | -2650 (or the amount specified by the IRS for the specific year.) |
| Tax Code Indicator | <i>None</i> |

All other fields are null.

- 9.5. Save the record.
- 9.6. Repeat the above steps for all affected combinations of Tax Code and Filing Status.
10. Create Treaty State Tax deduction records on the Benefits/Deductions Rule Form (PTRBDCA) utilizing the new State Tax codes created on PXAFSTA.
 - Set up the Benefit/Deduction Type 22 with a higher calculation priority than Type 21.
 - Set up the Benefit/Deduction Type 21 with a lower calculation priority than set for Type 22. Then associate Type 22 to Benefit/Deduction type 21.

- Enable automatic population of the **Option 3** field on the Employee Benefit/Deduction Form (PDAEDN) for federal treaty and federal income tax, by performing the following steps:
 - 10.1.** On PTRBDCA, enter the Benefit/Deduction Code for the affected Federal Treaty deduction and/or Federal Income Tax.
 - 10.2.** Select Next Block to move to the the Definition of Options and Amounts block.
 - 10.3.** Enter a **Title** for **Option 3**, for example, *Add Grs*.
 - 10.4.** Select *Optional* for the type of Entry.
 - 10.5.** Save the record.
 - 10.6.** Repeat steps (a) through (e) for all affected deductions.
- 11.** Verify all relative benefits/deductions have been created for the non-resident alien benefit category on the Benefit Category Rules form (PTRBCAT).
- 12.** Verify all states being used for payroll taxes have been identified on the Employer Rules Form (PTREMPR) in the Employer State Information block.
- 13.** Now, based on the SPT and treaty analysis, set up the Windstar International Tax Navigator values that are to be mapped on the new Third Party Code Rule Form (PTRTPCD).

 **Note**

See the “*Third Party Code Rule Form (PTRTPCD)*” on page 3-4 for more information. ■

These values will be recognized by Banner when data is downloaded from the Windstar International Tax Navigator.

The codes set up in this form will be used to map data between Banner and Windstar International Tax Navigator on the Foreign Person Interface Rule Form (PTRFPIN).

- 14.** Next, on the Foreign Person Interface Rule Form (PTRFPIN), map data fields for benefits/deductions and citizenship codes in Banner with corresponding Windstar International Tax Navigator values. See the “Foreign Person Interface Rules Form (PTRFPIN)” on page 3-5 for more information.

These Banner fields will be used with the corresponding Windstar fields to create and/or update relevant benefit/deductions and citizenship values, for employees, as identified on the PTRFPIN mapping form.

 **Note**

This is a one-time set up to map corresponding fields between the two systems. However, maintenance can be performed at any time, if needed. ■

- Set up the Treaty State Tax deduction codes, created in previous Steps 6 - 10, on the Tax Reporting Rules Form (PXAREPT) for 1042-S and Tax Deposit reporting (PXRTDEP):

| Tax Report Code | Box # | Box Name |
|-----------------|-------|---------------------------------------------------------------------|
| 1042 | 22 | State Income Tax Withheld |
| TDUG | 5 | State Income Tax |
| W2 | 16XX | State Gross XX: represents the characters identifying the state. |
| W2 | 17XX | State Tax XX: represents the characters identifying the state. |

See Chapter 6, “Payroll Processes” of the *Banner Human Resources User Guide* for information on the PXAREPT setup table for different reporting needs.

- Create new employee records in Banner, e.g., PPAIDEN, PEAEMPL, GOAINTL and NBAJOBS. The Visa Type and Nationality information is used from the GOAINTL form in the XPEP1042 process.
- Now upload employee data from Banner to Windstar International Tax Navigator for data analysis.

Data Upload Process in Banner

Perform the following steps in Banner Human Resources to provide employee data for the *Substantial Presence Test (SPT)* and treaty analysis in the Windstar International Tax Navigator:

- Run the 1042-S Upload Process (XPEP1042) in Banner.

See the “1042-S Upload Process (XPEP1042)” on page 4-1 for more information.

The upload process creates two data files, `indviff.txt`, containing employees’ personal information, and `pymtiff.txt`, containing 1042-S data and Year-to-Date payment information for each Citizenship code specified in the parameter(s).

Institutions may choose the frequency of when to run the interface processes according to their own needs. For example, before each pay period, quarterly or annually.

19. Manually transfer these data files to the server where the Windstar International Tax Navigator is located.

 **Note**

You may need to confer with your IT Department to perform this step. ■

20. Perform the Substantial Presence Test (SPT) and treaty analysis in the Windstar International Tax Navigator. Refer to the Windstar International Tax Navigator documentation for use of the Windstar program.

 **Note**

Windstar International Tax Navigator captures the results of the analysis of each employee in a .dat data file. ■

 **Note**

The captured information includes citizenship information, recipient information and benefits/deductions that can be availed from the corresponding Tax Treaty. Windstar recommends running the Batch Substantial Presence Test and Treaty Analysis before exporting data to avoid missing records for evaluation. ■

Data Download Process in Banner

Perform the following steps in Banner to prepare for data download and set up benefits/deductions in accordance with the tax analysis performed by the Windstar International Tax Navigator for accurate 1042-S reporting:

21. Run the Batch Processor Application in the International Tax Navigator to first create the export data file.

This data file is read by the 1042-S Download Process, XPDP1042.

22. Copy the export data file into the *Banner* directory within the path identified by the environment variable \$DATA_HOME, on the server in which Banner has been installed in your institution.

 **Note**

You may need to confer with your Information Technology Department to perform this step. ■

23. Rename this outfile_.txt file as payment.dat.

24. This data is now ready to be read and downloaded into Banner via the 1042-S Download Process (XPDP1042).

25. Run the 1042-S Download Process, (XPDP1042) with desired parameters. This process can be run in the Report (*R*) mode or the Process (*P*) mode. See 4-10 for more information.

 **Note**

It is recommended that you initially run the process in the Report (*R*) mode. In this mode, the system displays all changes that would result from the data file input, without actually updating the records in the database. An error report, if applicable, and a Log file are also generated. ■

The process reads the `payment.dat` file located within the path identified by the environment variable `$DATA_HOME`. This allows for the update of specific fields for citizenship and recipient, and the creation and/or change of benefits/deductions appropriate for relative employees on PDAEDN, as evaluated by the analysis in the Windstar International Tax Navigator.

26. Review and correct any errors displayed in the report. For a detailed listing of errors and warning messages, refer to page T-1 of this handbook.
27. Re-run the download process, XPDP1042 in Report (*R*) mode.
28. Repeat Step 26 and Step 27 until all errors are resolved in Banner. This implies that employee data in Banner is on par with the Windstar International Tax Navigator's analysis.
29. Now, run the Download process, XPDP1042, in the Process (*P*) mode to implement permanent changes to the database.

The process now updates 1042-S **Recipient** codes on PEAEMPL, **Citizenship** codes on PPAIDEN, and activates appropriate benefit/deduction records in PDAEDN for all employees based on the results of the Windstar analysis and the parameters selected in the process. In response to IRS Code Section 3402 to determine the amount of income tax withheld from wages paid to non-resident employees in the United States, the **Option 3** field on the Employee Benefit/Deduction Form (PDAEDN) is automatically populated for federal treaty deductions and federal income tax if desired.



This chapter provides detailed descriptions of the Banner Human Resources forms, fields, and procedures for setting up data for the Windstar interface.

Validation Forms

Set up data on the following Human Resources validation forms in preparation for the Windstar Interface.

| | |
|---------|-----------------------------------|
| STVATYP | Address Type Code Validation Form |
| GTVSDAX | Crosswalk Validation Form |

Address Type Code Validation Form (STVATYP)

The Address Type Code Validation Form enables you to establish address type codes for use on the Identification Form (PPAIDEN) and the Address List Query Form (PPIADDR). This form is shared with other Banner systems. Refer to the online help of Banner Student for detailed descriptions.

Crosswalk Validation Form (GTVSDAX)

Define two new codes to transfer U.S. addresses and Foreign addresses of employees from Banner to the Windstar International Tax Navigator application as follows:

 **Note**

Address Types must exist on the Address Type Code Validation Form (STVATYP). A 1042USADDR record must be created and used as the Address Type on GTVSDAX and the Identification form (PPAIDEN) for the record to be selected in the 1042-S Upload Process (XPEP1042). ■

1. Enter two new internal codes, *1042USADDR* and *1042FRADDR*.
2. Enter a Sequence number of *1* for each code.
3. Enter the **Group** Code as *ADDRESS*.
4. Enter a short description for each code as shown in the form above.
5. In the **External Code** field, enter the Address Type code that has been created for U.S. and Foreign Addresses and used on the Identification Form (PPAIDEN).
6. Save the new entries.

 **Note**

Multiple GTVSDAX records may be created for U.S. and Foreign addresses by prioritizing each Address Type code using the Sequence field. This is similar to the use of address type prioritization for W2 addresses.

Rule Forms

Set up the following Human Resources rule forms for the Windstar Interface.

| | |
|---------|------------------------------------|
| PTRTPCD | Third Party Code Rule Form |
| PTRFPIN | Foreign Person Interface Rule Form |
| PXATXCD | Tax Code Rules Form |

Third Party Code Rule Form (PTRTPCD)

This new rule form allows you to select and set up Windstar Category codes with values that Banner should recognize when data is downloaded from the Windstar International Tax Navigator.

Note

Third party vendor codes and their corresponding Category codes are provided by SunGard Higher Education as seed data. For more details refer to the topic, "[Seed Data](#)" on page 5-2. ■

The Category code values specified on this form are used for mapping data on the Foreign Person Interface Rule Form (PTRFPIN).

Note

You may specify more than one value for each Category code. ■

Instructions

To set up values:

1. At **Third Party Code**, select Windstar from a List of Values, to establish values for specific Category codes.

The system displays a short description of the selected vendor (Windstar), by default.

2. Perform the Next Block function and move to the Category Codes block.

The system displays the associated Category codes and descriptions for the Third Party Code selected in the Key block.

3. Select a specific Category code and perform the Next Block function to move to the Third Party Values block.

4. At **Value**, enter a value for the selected Category code. Values to be entered here are defined in the Windstar Payment Export Information specification and should be obtained by contacting Windstar Technologies.

Note

Value characteristics are dependent on the Category code selected in the Category Codes block.

For example,

WSRES - 1 character alpha; (e.g., N - Non-resident Alien) or

WSEXM - 2 character alpha/numeric; (e.g., 04 Exempt under Tax Treaty) ■

5. At **Description**, enter a brief description for the value of the selected Category code.
6. Repeat Steps 4 and 5 to associate more than one value with a selected Category code.

7. Save each record.

At **Activity Date**, the system displays the date on which the records were last updated.

Foreign Person Interface Rules Form (PTRFPIN)

This rule form allows you to map corresponding data fields in the Windstar International Tax Navigator and Banner Human Resources. Access this rule form via Direct Access or from the Human Resources Administration menu. This form contains two blocks:

- Benefit or Deduction Block
- Citizenship Block

Benefit or Deduction Block

Based on the analysis provided by Windstar International Tax Navigator, identify benefits or deductions with specific combinations of **Income Code**, **Exemption Code**, and **Income Code Subtype**.

Note

Set up values for each of the fields listed above on the Third Party Code Rule Form (PTRTPCD). ■

The 1042-S Download Process (XPDP1042), reads these records and creates and/or updates the relevant benefit or deduction for eligible employees, on the Employee Benefit or Deduction Form (PDADEDN).

The combination of the Banner Benefit or Deduction, Income Code, Exemption Code and Income Code SubType makes each record *unique*.

1. At **Benefit or Deduction** select the Banner benefit or deduction code that should be activated by the 1042-S Download process (XPDP1042) from a predefined list of values.

Note

This form allows you to set up only those benefits or deductions which belong to Deduction Types: *01*- Federal Income Tax, *02* - FICA, *08* - FICA Medicare, *04*-State Income Tax, *20* - Federal Treaties, or *21* and *22* - State Taxes that honor treaties. See the topic "Tax Code Rules Form (PXATXCD)" on page 3-7 for more information on state tax set up. ■

2. At **Income** select the income code to be associated with the benefit or deduction from a predefined list of values (LOV) specified on PTRTPCD
3. At **Exemption** select an exemption code to be associated with the benefit or deduction and Income code from a predefined list of values (LOV) specified on PTRTPCD.

4. At **Income Code Subtype** select the value of the Income Code Subtype to be associated with the Income code.

The system defaults an **Income Code Subtype** of **N** for Not Applicable.

 **Note**

Income Code Subtypes are used with the Income code *15* for Scholarships and Fellowships. All other Income codes would be set up with a Subtype of *N*, the default value. ■

5. At **User ID**, the Banner ID of the user who last updated the record is displayed.
6. At **Activity Date**, the date on which the record was last updated, is displayed.

Citizenship Block

Based on the SPT and treaty analysis provided by Windstar International Tax Navigator, associate Banner **Citizenship** codes with a combination of **Residency Status** and **Visa Type**. The 1042-S Download Process (XPDP1042) can also update the Citizenship status on PPAIDEN as established on this rule form.

7. At **Citizenship**, enter the Banner Citizenship code to be updated by the Download process XPDP1042.
8. At **Residency Status**, enter the residency status code associated with the citizenship code. For example, *N* (Non-Resident) or *R* (Resident Alien).
9. At **Visa Type**, enter the Visa Type code. This field is used to evaluate the citizenship status.

 **Note**

This block basically allows you to specify citizenship codes as:
Citizenship = Residency Status + Visa Type. ■

10. At **User ID**, the Banner ID of the user who last updated the record is displayed.
11. At **Activity Date**, the date on which the record was last updated, is displayed.

Tax Code Rules Form (PXATXCD)

Two Federal Tax codes have been delivered to populate seed data that identify Income Code Subtypes for Scholarship awards:

- *FD15L*, (Scholarship Living Expense) and
- *FD15Q* (Scholarship Qualified)

This information is used as a common link to map data between Banner and the Windstar International Tax Navigator.

Two state tax deduction types may be utilized for the recording and reporting of state taxes and treaty limits when federal treaties are honored:

- Deduction Type 21 - State Tax-1042S Reportable, allows for the distinction of State tax withheld on nonresident alien income when the State honors Federal treaties.
- Deduction Type 22 - State Treaty Exempted, allows for the accumulation and tracking of nonresident alien income within the treaty allowance.

When a Treaty Allowance is greater than zero, the association of Deduction Types 22 to Type 21 will allow for the accumulation of income within the Federal Treaty Allowance (type 22) and then the state taxation of income over the Federal Treaty Allowance (type 21).

The following design is suggested for creation of the state tax related PXATXCD records:

| In this position... | use this convention... | for this designation |
|----------------------------|-------------------------------|---------------------------------------------------------------------------------------------------------------------|
| 1 and 2 | <XY> | Specific states that honor federal treaties. For example, <i>PA</i> for Pennsylvania, <i>NY</i> for New York |
| 3 and 4 | 15 | Scholarship/Fellowship grants |
| | 16 | Independent personal services |
| | 17 | Dependent personal services |
| | 18 | Teaching |
| | 19 | Compensation during training |
| | 20 | Earnings as an artist or athlete |

| Tax Code | Description | Tax Type | State or Province | Starting Point | Annualization Method | Supplemental Percent | 1099-R Indicator |
|----------|-----------------------------------|----------|-------------------|----------------|----------------------|----------------------|------------------|
| FD | Federal Income Tax | Federal | | Annual | Annualize | 25 | (None) |
| FD15 | Treaty (Scholarship/Fellowship) | Federal | | Current | (None) | | (None) |
| FD15-IRC | All gross exempt under IRC | Federal | | Annual | Annualize | | (None) |
| FD15L | Scholarship Living Expense | Federal | | Annual | Annualize | | (None) |
| FD15N | Non-Treaty Scholarship/Fellowship | Federal | | Annual | Annualize | | (None) |
| FD15Q | Scholarship Qualified | Federal | | Annual | Annualize | | (None) |
| FD16 | Treaty (Independent Service) | Federal | | Current | (None) | | (None) |
| FD16-IRC | All gross exempt under IRC | Federal | | Annual | Annualize | | (None) |
| FD17 | Treaty (Dependent Service) | Federal | | Annual | Annualize | | (None) |
| FD17-IRC | All gross exempt under IRC | Federal | | Annual | Annualize | | (None) |
| FD18 | Treaty (Teaching) | Federal | | Annual | Annualize | | (None) |
| FD18-IRC | All gross exempt under IRC | Federal | | Annual | Annualize | | (None) |
| FD19 | Treaty (Study/Training) | Federal | | Annual | Annualize | | (None) |
| FD19-IRC | All gross exempt under IRC | Federal | | Annual | Annualize | | (None) |
| FD20 | Treaty (Art/Entertainment) | Federal | | Annual | Annualize | | (None) |
| FD20-IRC | All gross exempt under IRC | Federal | | Annual | Annualize | | (None) |
| FDERUN | Federal Unemployment-Employer | Federal | | Current | (None) | | (None) |

It is not necessary to define all possible 1042-S codes. Define only the ones you expect to need at your site (but be sure they follow the naming conventions shown in the previous page). See Chapter 8, “Tax Administration and Regulatory Reporting” in the *Human Resources User Guide* for more information on tax administration procedures.

Application Forms

The following forms have been modified for the windstar interface:

| | |
|---------|------------------------------------|
| PDADEN | Employee Benefit or Deduction Form |
| PHAADJT | Adjustment Processing Form |

Employee Benefit or Deduction Form (PDADEN)

The 1042-S Download Process (XPDP1042) reads the `payment.dat` file and evaluates the value of each field required to set up treaty-associated benefits or deductions on PDADEN as determined from the *Substantial Presence Test (SPT)* and treaty analysis conducted in Windstar International Tax Navigator.

Treaty benefits or deductions are valid only for the current tax year. Consequently, these benefits have to be annually terminated for the current year, and re-activated for the following year for eligible employees. The XPDP1042 process automates the activation and termination of treaty benefits or deductions.

Only those benefits or deductions identified on the Foreign Persons Interface Rule Form (PTRFPIN) can be created and/or updated automatically through the XPDP1042 download process. Additional benefits or deductions may be set up using the existing Employee Benefit or Deduction Form (PDADEDN); the Employee Benefit or Deduction Set Up Form (PDABDSU) or the Benefit Deduction Mass Change Process (PDPBDMC).

Banner will always look at the Last Paid Date when creating, modifying or terminating benefits or deductions. When looking to create or update benefits/deductions in Banner, the XPDP1042 process will delete related existing records between the Begin Date and End Date of the current Tax Year, and/or greater than the Last Paid Date. The process will then review and update the desired benefits/deductions as described below.

On running the 1042-S Download Process (XPDP1042), the following fields are evaluated and set up on PDADEDN:

| Field | Description |
|----------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Deduction | <p>The automatic creation of benefits or deductions is limited to those values set up on the Foreign Person Interface Rule Form (PTRFPIN). See specific benefit or deduction types discussed in this section.</p> <p>Treaty benefits or deductions in Banner are set up based on the Treaty Form Signed Date field in <i>Windstar International Tax Navigator</i>.</p> <p>FICA benefits or deductions in Banner are set up based on the Exempt Student from FICA and Exempt (NRA) from FICA fields in <i>Windstar International Tax Navigator</i>.</p> <p>For more details, see “FICA Benefits or Deductions” on page 3-12.</p> <p>Federal and State Income Tax benefits or deductions in Banner are set up based on the existence of a Treaty benefit or deduction in Banner.</p> |
| Effective Date | <p>The 1042-S Download process (XPDP1042), determines the Effective dates for activating and terminating treaty-associated benefits or deductions by comparing the following dates in the <code>payment.dat</code> file. The existence of a Treaty Form Signed date in the Windstar export will trigger the creation of treaty benefit or deductions, of Deduction Types 20, 21 and 22.</p> <p>The Effective Date for <i>activating</i> a benefit or deduction is determined as the most recent date among the:</p> <ul style="list-style-type: none"> • First day of tax year or entered parameter date • Hire date • Treaty form signed date or • First day after the last paid date <p>Similarly, the Effective Date for <i>terminating</i> a treaty-associated benefit or deduction is the earlier date from among the:</p> <ul style="list-style-type: none"> • Treaty Benefit End Date • Target Departure Date or • December 31st of the tax year or entered parameter date |

| Field | Description |
|----------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Option 1 | <p>For treaty-related benefits or deductions, the value of this field is determined by the 1042-S Tax Residency Country Code in <i>Windstar International Tax Navigator</i>.</p> <p>For Federal and State Income Tax benefits or deductions, the value of this field is dependent on the RA Effective Date in the Windstar International Tax Navigator.</p> <ul style="list-style-type: none"> • If a Non-resident Alien, the Filing Status will be created or updated to Single in Banner. • If a Resident Alien, the Filing Status will not change an existing Banner record, and will create Single for a newly created record in Banner. <p>The 1042-S Download Process (XPDP1042) reads the value of these fields from the <code>payment.dat</code> file to set up the appropriate benefit or deduction.</p> |
| Option 2 | <p>The value of this field is determined by the Personal Exemption and Additional Exemptions Allowed fields in <i>Windstar International Tax Navigator</i>.</p> <p>The 1042-S Download Process (XPDP1042) reads the value of this field from the <code>payment.dat</code> file to set up the appropriate benefit or deduction.</p> <p>For Federal and State Income Tax benefits or deductions, the value of this field is dependent on the RA Effective Date in the Windstar International Tax Navigator.</p> <ul style="list-style-type: none"> • If a Non-resident Alien, the Exemptions will be created or updated to the Windstar file value. • If a Resident Alien, the Exemptions will not change an existing Banner record, and will use the Windstar file value for a newly created record in Banner. |

| Field | Description |
|---------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Option 3 | <p>For Federal Treaty and Federal Income Tax benefits or deductions, the value of this field is determined by the Add to Gross field in the Windstar International Tax Navigator.</p> <p>The 1042-S Download Process (XPDP1042) reads the value of this field from the <code>payment.dat</code> file to set up the appropriate benefit or deduction. If the value is <i>T</i>, a <i>1</i> will be placed in Option 3. If the value is <i>F</i>, a <i>0</i> will be placed in Option 3.</p> |
| Additional Withholding Amount 1 | <p>The value of this field is determined by the Amount of Additional Withholding field in <i>International Tax Navigator</i>.</p> <p>The 1042-S Download Process (XPDP1042) reads the values of these fields from the <code>payment.dat</code> file to set up the appropriate benefit or deduction.</p> <p>For Federal Income Tax benefit/deduction, the Amount 1 value is dependent on the RA Effective Date in the Windstar International Tax Navigator.</p> <ul style="list-style-type: none"> • If a Non-resident Alien, the Additional Withholding will be created or updated to the Windstar file value. • If a Resident Alien, the Additional Withholding will not change an existing Banner record, and will use the Windstar file value for a newly created record in Banner. <p>For State Income Tax (Type <i>04</i>) benefit/deduction, the Amount 1 value will not be considered by the XPDP1042 process as it is not dictated by Federal Regulations.</p> |

FICA Benefits or Deductions

The 1042-S Download Process (XPDP1042), creates FICA benefits or deductions for Non-Resident Aliens (NRAs) as follows:

If the Windstar value for **Exempt Student from FICA** or **Exempt (NRA) from FICA** field is set to *True* in the Windstar International Tax Navigator, FICA benefits or deductions will be set up in Banner with an **exempt** status.

If both fields are set to *False*, FICA deductions are set up with an **Active** status.

Federal and State Income Tax Benefits or Deductions

The 1042-S Download Process (XPDP1042), creates Federal and State Income Tax Benefits or Deductions for NRAs as follows:

- When Federal and State Income Tax deductions do not exist in Banner and a Treaty deduction is being created with an **Active** status, the Federal and State deductions will be created with an *exempt* status.
- When a Treaty deduction is not being created, or is being terminated, Federal and State Income Tax deductions will be created with an **Active** status.
- If active Federal and State Income Tax deductions already exist in Banner with an effective date equal to the resulting Treaty Form Signed date, the system will delete the active Federal and State Income Tax deduction records, create new exempt Federal and State Income Tax deductions, and create the active Treaty deduction.
- If Federal and State Income Tax deductions exist in Banner with an effective date after the Hire Date, and the resulting Treaty Form Signed date is greater than the Hire Date, the system will delete the existing Federal and State Income Tax deduction records and create new earlier Federal and State Income Tax deductions with the appropriate status, based on the effective date rules stated below.

To create a new Federal or State Income Tax deduction (active or exempt), the system will select the earliest date allowed that is \geq Hire Date from the following:

- First date of tax year or date entered in process parameter,
- Hire date,
- Treaty Form Signed date,
- Day after Treaty termination date, or
- First day following the last paid date

To exempt an existing active Federal or State Income Tax deduction, the system will select the most recent date from the following:

- First date of tax year or date entered in process parameter,
- Hire date,
- Treaty Form Signed date, or
- First day following the last paid date

To reactivate an existing Federal or State Income Tax deduction the system will select the most recent date from:

- First date of tax year or date entered in process parameter,
- Hire date,
- First day following the last paid date,
- Day after Treaty termination date, or
- Day after Treaty benefit end date

If Treaty deductions exist in Banner with a Termination Date prior to the interface selected end date, the following benefits/deductions will be affected:

- The Terminated Treaty deduction (Type 20 and/or 21, 22) with the greatest Effective Date prior to the calculated Treaty End Date will be deleted;
- All associated Federal Withholding Tax, State Withholding Tax and/or FICA benefits/deductions with an Effective Date greater than the deleted Terminated Treaty deduction Effective Date will be deleted;
- A new Terminated Treaty deduction with the new calculated Treaty End Date will be created;
- All associated Federal Withholding Tax, State Withholding Tax and/or FICA benefits/deductions with the appropriate Effective Date based on the new Terminated Treaty deduction will be created.

State Income Tax for States that Honor Tax Treaties

Banner allows for the automatic withholding of Federal Income Tax when the treaty maximum benefit is reached. This functionality has now been extended to State Income Tax for states that honor tax treaties, if the enterprise chooses to set up the following.

Set up automatic withholding of State Income Tax, before you run the 1042-S Download Process (XPDP1042) as follows:

1. Verify or create new Deduction Types, 21- State Tax 1042S Reportable and 22- State Treaty Exempted on the Benefit or Deduction Type Validation Form (PTVBDTY).
2. On the Tax Code Rules Form (PXATXCD), create State Tax codes for those states that honor federal treaties. For example, PA15 - Pennsylvania Scholarship/Fellowship Income.
3. On the Tax Filing Status Rules Form (PXAFSTA), create the associated Country Code filing status record(s) for the new State Tax code created in *Step 2*.

Specify the treaty allowance amount in the **Minimum Year-To-Date Gross** field.

4. On the Tax Setup Form (PXATAXS), enter the applicable Tax Percent or Graduated Tax Table on each combination of tax code and filing status defined on PXATXCD and PXAFSTA for the new State Tax codes created in *Steps 2 and 3*.
5. On the Benefits or Deductions Rule Form (PTRBDCA), create a State benefit or deduction record utilizing the new Deduction Type *21* and the State Tax code, created on PXAFSTA, for each state that honors federal treaties that your site expects to use. The deduction definition would be similar to the regular state Deduction Type *04* setup. Country code should be a required option entry for **Option 1**.

Similarly, create an exact duplicate deduction of Deduction Type *21* State record for Deduction Type *22*, including Country Code being required for Option 1. The Calculation Priority for Type *22* must be greater than the Calculation Priority for Type *21*.

The new State Benefit or Deduction Type *22* must be associated with the Deduction Type *21* Benefit or Deduction. Deduction Type *22* will have no associations.

- Deduction Type *21* will track the state tax withheld, and
 - Deduction Type *22* will track the treaty allowance up to the limit
6. On the Foreign Persons Interface Rule Form (PTRFPIN), enter the newly created State benefit or deduction record created in *Steps 4 and 5*.
 7. Verify all relative benefits/deductions have been created for the non-resident alien benefit category on the Benefit Category Rules form (PTRBCAT).
 8. Verify all states being used for payroll taxes have been identified on the Employer Rules Form (PTREMPR) in the employer State Information block.

On running the 1042-S Download Process (XPDP1042), the **State Code** field in *Windstar International Tax Navigator*, as well as fields mapped on the new rule form, PTRFPIN, jointly determines the creation of a State benefit or deduction records in Banner.

 **Note**

The Tax Reporting Rules on PXAREPT may need to be updated for the newly created benefits or deduction codes. ■

Adjustment Processing Form (PHAADJT)

This form allows you to complete manual checks and payroll adjustments, voids, expense redistributions, duplicate or reissue pay events and adjust split time sheets. This form can also be used to view original pay events generated by the normal payroll process.

History Deductions Form (PHCDEDN)

The History Deductions Form (PHCDEDN) allows you to enter and view deduction codes and amounts. This form can only be accessed via the Adjustment Processing Form (PHAADJT) or the On-line Time Entry Form (PHAHOUR).

Corrections to all benefits/deductions, except for Federal Treaty (Type 20) benefits/deductions, may be made on this window. To make Federal Treaty (Type 20) benefit/deduction changes, access the 1042-S Information window from the Options menu of the PHAADJT/PHCDEDN. A new field for Income Code Subtype has been added to the 1042-S Information window.

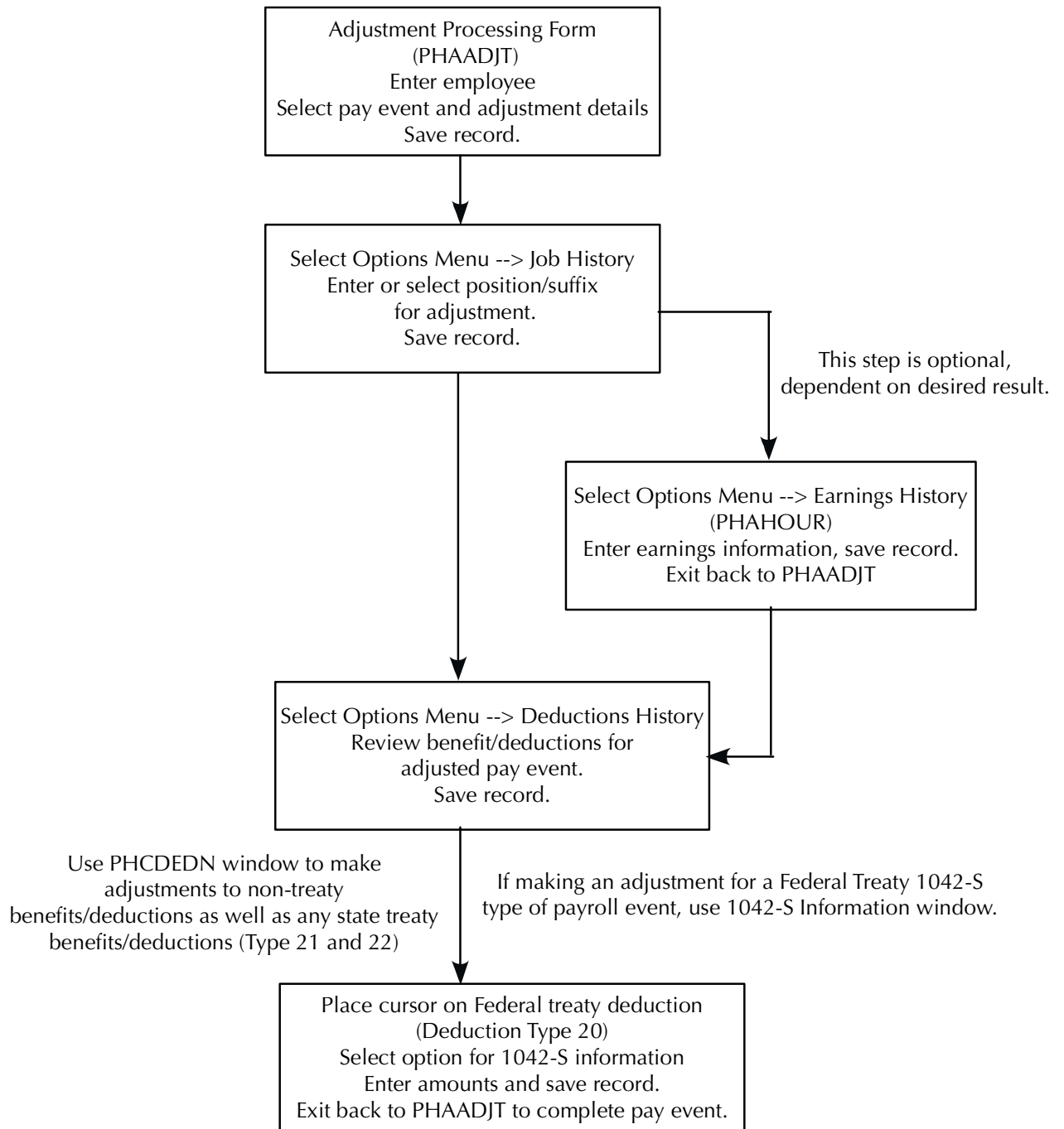
| Field | Description |
|---------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Income Code Subtype | Displays the Income Code Subtype (if applicable) associated with the Federal Treaty deductions. The value of this field is derived from the 5th value of the Federal Treaty tax codes such as FD15L or FD15Q, where <i>L</i> = Living Expenses <i>Q</i> = Qualified Scholarship and <i>N</i> = Not Applicable. |

Procedure—Processing Pay Events for 1042-S or Non-Resident Alien Employees

To facilitate 1042-S filing and reporting for Non-Resident Aliens (NRAs), PHAADJT also allows you to make manual adjustments to Federal Treaty pay events of 1042-S employees in the 1042-S window of the History Deductions Form (PHCDEDN). This window can be accessed only from the Options menu of the PHAADJT/PHCDEDN form.

Note

Although the ability to make manual adjustments to pay events of NRAs has been documented, it is being included in this handbook to emphasize the use of existing functionality. ■



 **Note**

Refer to Chapter 6, "Payroll Procedures" of the *Banner Human Resources User Guide* for step- by-step instructions on the Payroll Adjustment Process.

To make manual pay adjustments and update 1042-S information for a non-resident employee, complete the 1042-S Information block as follows:

1. Follow directions in Chapter 6, “Payroll Processes” of the *Human Resources User Guide* for the appropriate Adjustment Action for entering adjustment transaction data on PHAADJT, PHAHOUR and PHCDEDN.
2. Select the 1042-S Information window from the Options menu of the History Deductions Window (PHCDEDN).

 **Note**

The cursor must be positioned on a benefit or deduction code that has been defined on the Benefit or Deduction Rules Form (PTRBDCA) as a Deduction Type 20- *Foreign Persons Tax - 1042-S Reportable*. ■

3. Information will default into the top portion of the window relative to the Income Type, Adjustment pay amounts and Withholding Allowances.

The **Available Withhold Allowance For This Pay** represents the pay period exemption amount and is equal to the annual exemption amount on the Tax Setup Form (PXATAXS) divided by the number of pays for the year (i.e. monthly \$3000 / 12 = \$250.00). This is referred to as earned allowance and it is distributed across all pay events for a pay period. Once the entire earned allowance is taken for a pay period, no other adjustments can take an allowance.

The **Allowance In Arrears For This Year** represents any earned allowances that were not taken during a pay period. This usually happens when the taxable gross is less than the pay period allowance.

For example:

Taxable gross for the pay period is \$100.

Allowance for the pay period is \$3000 / 12 or \$250.

Since the taxable gross is less than the allowance, the employee should be credited \$150 of allowance which is considered in arrear and can be recovered during the next pay period or a pay adjustment to the pay period.

The **Allowance Available To Be TAKEN This Pay** is the sum of the **Available Withhold Allowance For This Pay** and the **Allowance In Arrears For This Year**.

This field shows exactly how much allowance can be taken for the pay adjustment.

4. Enter values for **Gross Income**, **Withhold Allowance**, **Allowance Taken**, **Exempt Code** and **Tax Withheld**. The **Gross Income** and **Tax Withheld** should equal the values entered on the Deductions window of PHCDEDN for each deduction code.

All values must be manually entered on the 1042-S Information window. All fields are mandatory and zeros may be entered when amounts are not applicable. Multiple entries may be made to split the Gross Income into separate parts for taxing and non-taxing instances, for example: exemption code 4 versus exemption code 0. This is useful when the adjustment amount is included in and exceeds the treaty threshold.

5. Save the record.

The information entered in the 1042-S Information window satisfies the tax entry and it is not necessary to run the Payroll Calculation Process (PHPCALC).

6. Follow directions in Chapter 6, “Payroll Processes” of the *Human Resources User Guide* for the appropriate Adjustment Action to Balance/Approve and complete the adjusted pay event.



4

Reports and Processes



This chapter provides a detailed description of the Banner reports and processes associated with the Windstar Interface.

1042-S Upload Process (XPEP1042)

Description

This process creates two data files, `indviff.txt` and `pymtiff.txt` for upload to Windstar International Tax Navigator for data analysis.

The `indviff.txt` data file contains the personal information of employees and the `pymtiff.txt` data file contains Year-to-Date payment information of each 1042-S type employee in Banner.

A 'U.S.' Address Type must be created and used on GTVSDAX and the Identification form (PPAIDEN) for the record to be selected in the Bio/Demo Upload Process (XPEP1042).



Note

Canadian provinces are created and used in the same way as U.S. states. So, the same address type can be used with either a U.S. state or a Canadian province code. The 1042S Upload Process (XPEP1042) excludes any U.S. identified Address Type with a Canadian province entered in the **State/Province** field on the Identification Form (PPAIDEN).

The process will look to the Crosswalk Validation Form (GTVSDAX) for the defined Address Types on the `1042USADDR` Internal Code record(s) to select the PPAIDEN address for upload. The process will then look up the State/Province Code Validation Form (STVSTAT) to get the EDI Equivalent value. If there is a value in the **Canadian Statistics Code** field, the process will not select that employee record for inclusion in the `indviff.txt` data file. ■

Run this process from Job Submission, specifying the following report parameters:

| Parameters | Name | Description/Values | Required? | Defaults | Validation |
|------------|-------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------|----------|--------------------------------|
| | Bio/Demo Upload | Indicate whether Biographic/Demographic information is being uploaded from Banner. | Yes | N | Y, N |
| | Effective Date | <p>The Effective Date of records for consideration by the process. Records considered are those whose Current Hire Date on the Employee Form (PEAEMPL) or the Activity Date on the Identification Form (PPAIDEN) is greater than or equal to the date specified in this parameter.</p> <p>The process first considers the Current Hire Date on the employee records. If the above condition is not satisfied, it considers the Activity Date on the Identification Form (PPAIDEN). If neither date meets the selection criteria, the process does not select the specific record.</p> | Yes, if the Bio/Demo Upload parameter is set to <i>Y</i> . | None | Date Format: DD-MON-YYYY |
| | Citizenship Codes(s) | Citizenship codes to include in the bio/demo records. Enter a two-character code. Multiple codes can be entered. | Yes, if the Bio/Demo upload parameter is set to <i>Y</i> . | None | STVCITZ |
| | Earnings/Deductions (1042-S) Upload | Indicate whether Year-to-Date earnings and payment information, required for 1042-S reporting is also being uploaded. | Yes | N | Y, N |
| | Tax Year | Specify the Tax year for which Earnings and Deductions information should be uploaded from Banner. | Yes, if the Earnings/Deductions (1042-S) Upload parameter is set to <i>Y</i> . | None | Year format is YYYY NBAFISC |

| Parameters | Name | Description/Values | Required? | Defaults | Validation |
|------------|---------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------|----------|------------|
| | Employer Code | Enter the employer code as a criteria to select payment information for 1042-S upload. | No | None | PTREMPR |
| | Record Status | Specify the reason for data upload. Options include: <i>F</i> - Forecasting <i>A</i> - Actual data Forecasting relates to Windstar's International Tax Navigator abilities. See Windstar's documentation for more information. | Yes, if the Earnings/Deductions (1042-S) Upload parameter is set to <i>Y</i> . | | |

Sort Order

By Benefit Category

Data Source

PPAIDEN, PEAEMPL, PHR1042

Frequency

On demand

Report Format

Standard horizontal format

| Fields | Name | Description |
|--------------------------------------------------------------------------------------------------|----------------|--------------------------------------------------------------------------------------------|
| The following information is listed for each employee in the <code>indviff.txt</code> data file. | | |
| Individual Data | ID | Banner ID of the employee. |
| | Last Name | Employee's last name. |
| | First Name | Employee's first name. |
| | U.S. Address | Employee's current address in USA, selected according to GTVSDAX specified value(s). |
| | Non-US Address | Employee's address in a foreign country, selected according to GTVSDAX specified value(s). |
| | Citz CC | Employee's Citizenship Country Code, selected from the GOAINTL record. |
| | Res CC | Employee's Tax Treaty Country Code from PDADEDN records. |

The following information is listed for each employee in the `pymtiff.txt` data file.

| | | |
|-------------------------------------|------------------------|--------------------------------------------------------------------|
| Year-to-Date 1042-S Data | ID | Employee's ID in Banner. |
| | Last Name | Employee's last name. |
| | First Name | Employee's first name. |
| | Income Code | Income code applicable to reported earnings. |
| | Income Code Subtype | Income Code Subtype applicable to reported earnings, if available. |
| | Exemption Code | Exemption code associated with reported earnings. |
| | Gross Income Paid | Employee's gross income. |
| | Withholding Allowed | Amount allowed for federal exemptions. |
| | Withholding Rate | Federal treaty tax rate. |

| Fields | Name | Description |
|---------------|------------------|------------------------------------------------------------------------------------|
| | Withheld Federal | Federal tax withheld on reported earnings. |
| | Withheld State | State tax withheld on reported earnings. |
| | State Code | U.S. State code in which the treaty-associated benefit/deduction is being honored. |
| | Country Code | Country Code where the treaty benefit/deduction is eligible. |
| | Country Name | Name of the country associated with the Country Code. |

In addition to the two data files, the process generates a .lis file displaying the data contained in the two flat files, and a .log file.

Report Sample—1042-S Upload Process (XPEP1042)

| ID | Last Name | First Name | US Address | Non-US Address | Citz CC | Res CC |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|------------|--------------------------------------------|-------------------------------------------------------|---------|--------|
| <div style="display: flex; justify-content: space-between; align-items: flex-start;"> <div style="width: 20%;"> REPORT : XPEP1042 Version: 7.1 </div> <div style="width: 50%; text-align: center;"> Banner University 1042S Upload Process Individual Data Effective Date : 01-JUL-2006 </div> <div style="width: 20%; text-align: right;"> PAGE 1 RUN DATE 18-JUL-2006 RUN TIME 04:55 PM </div> </div> | | | | | | |
| Z99990000 | Amon | Ben | 389 Country View Malvern PA 19355 | | | |
| 99999000A | Caballero | Enrique | 2439 Boxwood Ln Los Angeles CA 90041 | 75058 Paris Cedex 01 Paris FR 54322 BE | BE | BE |
| 89999000B | Chan | Kim | 244 Daisy Ln Malvern PA 19355 | No. 500 Weihai Road 200041 Shanghai China BE | BE | BE |
| 89999000F | Chin | Angela | 123 Main St Malvern PA 19355 | No. 1 Sanlihe Road Beijing China 100044 BE | BE | |
| 042111116 | Defect | Adjust1042 | 3948 Sunset Malvern PA 19355 | 829 Bahawa Benqwa BA | | @1 |
| 89999000C | Desantis | Maria | 596 Village Park Dr Malvern PA 19355 | 308 Des Voeux Road West Hong Kong China BE | | BE |

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Version: 7.1

Banner University
1042S Upload Process
Individual Data
Effective Date : 01-JUL-2005

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RUN TIME 04:55 PM

| ID | Last Name | First Name | US Address | Non-US Address | Citz CC | Res CC |
|-----------|------------|---------------|------------------------------------------|------------------------------------------------------------------------------|---------|--------|
| 664193318 | Dong | Xiaonan | 1234 Juniper Ln Malvern PA 19355 | Tangedallan 17b3 Grimbergen, B1850 BE BE | BE | CH |
| 99999000D | Fetterman | Franz | 29399 Hampton Ln Malvern PA 19355 | Plaza de Las Cortes 7 Madrid, 28014 Spain BE | BE | |
| 99999000F | Jhaniani | Dong-un | 5955 Prada Ln Malvern PA 19355 | | BE | |
| 99999000G | Khergankar | Venkataramana | 4506 Hickory Ln Malvern PA 19355 | 4559 Hanku Mambic IN | BE | BE |
| 99999000Z | Kim | Ji-Young | 123 Main St Malvern PA 19355 | 12 Rue De Gar Paris, France BE | BE | BE |
| 89999000N | Mendez | Frederico | 3055 Hollow Grove Malvern PA 19355 | No. 45 Wangfujing Street Dongcheng District Beijing China 100006 BE | CH | CH |
| 99999000H | Mensanza | Balaji | 3209 Windswept Malvern PA 19355 | 39 Santeraman Salasma CH | CH | |
| 99999000J | Miacchi | Cosmina | 299 Boxing Terr Malvern PA 19355 | | BE | BE |

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1042S Upload Process
Individual Data
Effective Date : 01-JUL-2005

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| ID | Last Name | First Name | US Address | Non-US Address | Citz CC | Res CC |
|-----------|-------------|------------|-------------------------------------------|--------------------------------------------------|---------|--------|
| 99999000T | Muzorewa | Gwinyai | P0 Box 4 Malvern PA 19355 | MENNO SIMONSHOF - #1061216 LN HILVERSUM BE | BE | |
| 99999000K | Ordonez | Rafal | 4995 Flower Street Malvern PA 19355 | Vijzelstraat 4 Amsterdam Nl BE | BE | |
| 99999000L | Sym | Christy | 5504 Doral Ln Malvern PA 19355 | 2 Willow Road London BE | | BE |
| 99999000M | Thibault | Maria | 752 Fairview Ln Malvern PA 19355 | 44 Rue Hamelin Paris Fr 75116 BE | BE | |
| 677439810 | Thongpriwan | Vipavee | 123 Main St Malvern PA 19355 | 48 rue Veronese Bruxelles, 1000 BE BE | BE | BE |
| 99999000Q | Yang | George | 234 Deerfield St Malvern PA 19355 | De Keyserlei 66-70 Antwerp Belgium BE | BE | BE |
| 999990000 | ZaaZaa | Khaled | 4 Country View Rd Malvern PA 19355 | 9384 Pham Fun Frmnum CM | CM | |
| 99999000R | Zahm | Khaled | 30455 Kingpin Ln Malvern PA 19355 | 36, Arakashan Road New Delhi In 110055 BE | BE | @1 |

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Banner University
1042S Upload Process
Individual Data
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| ID | Last Name | First Name | US Address | Non-US Address | Citz CC | Res CC |
|-----------|---------------|-------------|------------------------------------------|--------------------------------------------|---------|--------|
| 99999000S | Zhang | Jun | 389 Camil Malvern PA 19355 | Handschoenmarkt 3 Antwerp Belgium BE | BE | |
| 99999000P | Zhoa | Jun | 4 Country View Rd Malvern PA 19355 | 39 Kwan Do Pun Nam BU | BU | |
| WSILL0029 | signed < hire | NRA 12-00-L | 3cv malvern PA 19355 | | | |

ERROR Undefined U.S. address for WSILL0001, check PPAIDEN or GTVSDAX.
ERROR Undefined U.S. address for WSILL0002, check PPAIDEN or GTVSDAX.
ERROR Undefined U.S. address for WSILL0003, check PPAIDEN or GTVSDAX.
ERROR Undefined U.S. address for WSILL0004, check PPAIDEN or GTVSDAX.
ERROR Undefined U.S. address for WSILL0005, check PPAIDEN or GTVSDAX.
ERROR Undefined U.S. address for WSILL0006, check PPAIDEN or GTVSDAX.
ERROR Undefined U.S. address for WSILL0007, check PPAIDEN or GTVSDAX.

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Banner University
1042S Upload Process
* * * REPORT CONTROL INFORMATION * * *

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| Parameter Name | Value | Source | Message |
|--------------------------|-------------|---------------|---------|
| Parameter Seq No: | 174693 | | |
| Bio/Demo Upload: | Y | Entered | |
| Effective Date | 01-JUL-2005 | Entered | |
| Citizenship Code(s): | | | |
| Citz. Code: | NR | Entered | |
| Citz. Code: | RA | Entered | |
| Earns/Deds(1042s)Upload: | N | Default Value | |
| Tax Year: | | | |
| Employer Code: | | | |
| Record Status: | | | |

Line Count: 55

Total Number of Individual Records Created: 28

Total Number of Earnings/Deds (1042s) Records Created:

1042-S Download Process (XPDP1042)

Description Run this process in the Report (R) mode or the Process (U) mode to download into Banner, data that has been analyzed, and created or updated by the Windstar International Tax Navigator. This process uses values from the payment.dat file generated from the Windstar Tax Navigator Export process.



Note

It is recommended that you initially run this process in the Report (R) mode.

In this mode, the system only provides a report of all changes that would result from the data file input, including errors without actually implementing the changes to the records in the database. A .log file is also generated.

Correct any displayed errors in Banner and re-run the process in Report (R) mode. Repeat these steps until the process runs error-free.

Based on the SPT and treaty analysis in the Windstar International Tax Navigator, this process may be used to update the following information in Banner when run in the Process (U) mode:

- **Citizenship** field on the Identification Form (PPAIDEN),
- **1042-S Recipient** field on the Employee Form (PEAEMPL) and
- Sets up relevant benefits or deductions as defined on the Foreign Person's Interface Rule Form (PTRFPIN), on the Employee Benefit or Deduction Form (PDAEDN) in accordance with Tax Treaty programs for eligible employees.

 **Note**

Benefits or Deductions of Deduction Types 20, 21, or 22 will be set up for eligible employees on PDAEDN only if the **Treaty Signed Date** field is populated in the Windstar International Tax Navigator. ■

This process checks for specific combinations of **Income Code**, **Exemption Code**, and **Income Code Subtype** values that are defined in the Windstar International Tax Navigator, and also mapped on the Foreign Person Interface Rule Form (PTRFPIN) to set up a specific benefit or deduction in Banner.

 **Note**

Set up the Third Party Code Rule Form (PTRTPCD) and the Foreign Person Interface Rule Form (PTRFPIN) before you begin the download process. ■

| Parameters | Name | Description/Value | Required? | Defaults | Validation |
|------------|-------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|----------|------------|
| | Report Mode | Indicate the mode in which the process is to be run. Options include: <ul style="list-style-type: none"> • Report (<i>R</i>) • This mode only displays the changes resulting from the process, without updating changes in the database. • Process (<i>U</i>) • This mode updates all changes into the database. | Yes | None | None |
| | Update Citizenship Data | Indicate whether citizenship data on PPAIDEN is to be updated in Banner | Yes | N | Y, N |

| Parameters | Name | Description/Value | Required? | Defaults | Validation |
|------------|-----------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|----------|------------|
| | Update Recipient Data | Indicate whether the 1042-S Recipient field on PEAEMPL is to be updated in Banner. | Yes | N | Y, N |
| | Update Ben/Dedn Data | Indicate whether benefit or deduction records are to be created and/or updated in Banner for eligible employees based on treaty analyses performed in the Windstar International Tax Navigator. Note: Benefits/Deductions that are created through the XPDP1042 process will have a value of <i>WINDSTAR</i> inserted on the PDRDEDN_REF_NO column of the PDRDEDN table | Yes | N | Y, N |

| Parameters | Name | Description/Value | Required? | Defaults | Validation |
|------------|--------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|----------|-------------|
| | Benefit Begin Date | <p>Specify this parameter to allow the process to override the date specified as the first day of tax year, to automatically evaluate the effective <i>start</i> date for benefits or deductions of Deduction Types 20, 21 or 22 (Federal and State Treaties).</p> <ul style="list-style-type: none"> • The effective date for the above deduction types is the most recent date amongst the: • First date of tax year or date entered in this parameter • Hire date • Treaty signed date or • First day following the last paid date • Similarly, use this parameter for benefits or deductions of Deduction Types 02 or 08 to automatically determine the effective start date of a FICA/OASDI deduction by selecting the most recent date from among: • First day of the tax year or date entered in this parameter • Current hire date or • First day after last paid date | No | None | DD-MON-YYYY |

| Parameters | Name | Description/Value | Required? | Defaults | Validation |
|------------|-------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|----------|------------|
| | Benefit Begin Date (cont.) | <p>This parameter may be used to override the date specified for deduction types 01 and 04 (Federal and State Income Tax). See 3-13 for more information.</p> <ul style="list-style-type: none"> • The effective date for a <i>new</i> Federal / State Income Tax deduction is the earliest date allowed \geq Hire Date from: <ul style="list-style-type: none"> • First date of tax year or date entered in process parameter, • Hire date, • Treaty Form Signed date, • Day after Treaty termination date, and • First day following the last paid date • The effective date to <i>exempt</i> an existing active Federal/State Income Tax deduction is the most recent date from: <ul style="list-style-type: none"> • First date of tax year or date entered in process parameter, • Hire date, • Treaty Form Signed date, or • First day following the last paid date | | | |

| Parameters | Name | Description/Value | Required? | Defaults | Validation |
|------------|--------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|----------|------------------|
| | Benefit Begin Date (cont.) | <p>The effective date for a <i>reactivated</i> Federal / State Income Tax deduction is the most recent date from:</p> <ul style="list-style-type: none"> • First date of tax year or date entered in process parameter, • Hire date, • First day following the last paid date, • Day after Treaty termination date, • Day after Treaty benefit end date | | | |
| | Benefit End Date | <p>Specify this parameter to allow the process to override December 31 of the Tax Year to automatically evaluate the effective <i>end</i> date for benefits/deductions of Deduction Types 20, 21 or 22.</p> <p>The effective end date is determined as the earliest date amongst the:</p> <ul style="list-style-type: none"> • Treaty Benefit End Date • Target Departure Date • December 31 of the tax year or the end date entered for this parameter | No | None | DD-MON-YYYY |
| | Population Selection Indicator | <p>Indicate whether you wish to restrict this process to a specific population. The population selected will be used to process selected records in the <code>payment.dat</code> file.</p> | No | N | Y or N y or n |

| Parameters | Name | Description/Value | Required? | Defaults | Validation |
|------------|----------------|------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|----------|----------------------|
| | Application ID | Enter the application ID for population selection. Enter this parameter only if the Use Population Selection Indicator parameter is set to Y. | No | None | None |
| | Selection ID | Specify the Selection ID for the population. Enter this parameter only if the Use Population Selection parameter is set to Y. | No | None | Y or N y or n |
| | Creator ID | Specify the Creator ID for population selection. Enter this parameter only if the Use Population Selection parameter is set to Y. | No | None | None |

Sort Order

By Benefit Category, followed by alphabetical listing of individuals by Last Name and First Name.

Data Source

payment.dat, PTRFPIN, PPAIDEN, PEAEMPL, GLAEXTR

Frequency

On demand

Report Format

Standard horizontal format

| Fields | Name | Description |
|---------------|--------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | Employee ID | Employee's ID in Banner. |
| | Employee Name | Employee's Last Name, First Name and Middle Initial, if any. |
| | Citizenship Code | Employee's citizenship status in the USA. |
| | Recipient Code | Employee's 1042-S recipient code. |
| | Deduction Code and Description | Employee's benefit or deduction code and its short description. |
| | Effective Date | Date that the benefit or deduction became effective. |
| | Status | Status of the benefit or deduction. |
| | Option 1 | The 1042-S Tax Country Code is displayed as Option 1 for treaty deductions. The PTRBDCA set up for specified deductions dictates this value. |
| | Option 2 | Personal exemptions associated with the Federal Tax deduction, if the employee's gross pay exceeds the treaty maximum. The PTRBDCA set up for specified deductions dictates this value. |
| | Option 3 | Indicate if an additional gross amount should be added as per IRS 2005-76. |
| | Amount One | Any additional amount withheld. The PTRBDCA set up for specified deductions dictates this value. |

Report Sample— 1042-S Download Process (XPDP1042)

| Report : XPDP1042 | | Banner University 1042S Interface Process Update Mode BCAT: NA | | | | Page 1 RUN DATE 26-JUL-2006 RUN TIME 04:08 PM | | |
|-------------------|------------------------------------------------|-------------------------------------------------------------------------|-----------|------------------------|----------------|-----------------------------------------------------|---------------|------------|
| Employee ID | Employee Name | Citz Code | Reci Code | Deduction Code Desc. | Effective Date | Status | Options 1 2 3 | Amount One |
| Z99990000 | Amon, Ben *INFO* No change on citizen info. | NR | 01 | Record is not updated. | | | | |
| | | | | FED Fed Tax | 01/01/2006 | Active | S 1 0 | 0.00 |
| | | | | ILL Illinois | 01/01/2006 | Active | 1 | |
| | | | | FIO OASDI | 01/01/2006 | Active | | |
| | | | | FIM Fica Med | 01/01/2006 | Active | | |

Report : XPDP1042

Banner University
 1042S Interface Process
 Update Mode
 BCAT: NA

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 RUN DATE 26-JUL-2006
 RUN TIME 04:08 PM

| Employee ID | Employee Name | Citz Code | Reci Code | Deduction Code | Desc. | Effective Date | Status | Options 1 | Options 2 | Options 3 | Amount | One |
|-------------|----------------------------------------------------------------------------------------------------------|-----------|-----------|----------------|----------|----------------|------------|-----------|-----------|-----------|--------|-----|
| TAX000002 | Bexui, Chin | NR | 01 | | | | | | | | | |
| | *INFO* No change on citizen info. Record is not updated. | | | | | | | | | | | |
| | | | | 15L | Fellow | 01/05/2006 | Active | @1 | 1 | 0 | 0.00 | |
| | | | | 15L | Fellow | 12/31/2006 | Terminated | @1 | 1 | 0 | 0.00 | |
| | | | | IL5 | IL Trty | 01/05/2006 | Active | @1 | | | | |
| | | | | IL5 | IL Trty | 12/31/2006 | Terminated | @1 | | | | |
| | | | | I25 | IL Trty | 01/05/2006 | Active | @1 | | | | |
| | | | | I25 | IL Trty | 12/31/2006 | Terminated | @1 | | | | |
| | | | | FED | Fed Tax | 01/05/2006 | Exempt | S | 1 | 0 | 0.00 | |
| | | | | FED | Fed Tax | 01/01/2007 | Active | S | 1 | 0 | 0.00 | |
| | | | | ILL | Illinois | 01/05/2006 | Exempt | | | 1 | | |
| | | | | ILL | Illinois | 01/01/2007 | Active | | | 1 | | |
| | | | | FIO | OASDI | 01/05/2006 | Active | | | | | |
| | | | | FIM | Fica Med | 01/05/2006 | Active | | | | | |
| 99999000A | Caballero, Enrique | NR | 01 | | | | | | | | | |
| | *INFO* No change on citizen info. Record is not updated. | | | | | | | | | | | |
| | *INFO* No change on recipient info. Record is not updated. | | | | | | | | | | | |
| | | | | F19 | Treaty | 01/05/2006 | Active | @1 | 1 | 1 | 0.00 | |
| | *WARNING* End Date cannot exist when status of last effective date is non-terminated; Clearing End Date. | | | | | | | | | | | |
| | | | | F19 | Treaty | 05/31/2006 | Terminated | @1 | 1 | 1 | 0.00 | |
| | | | | IL9 | Il Trty | 01/05/2006 | Active | @1 | 1 | | 0.00 | |
| | *WARNING* End Date cannot exist when status of last effective date is non-terminated; Clearing End Date. | | | | | | | | | | | |
| | | | | IL9 | Il Trty | 05/31/2006 | Terminated | @1 | 1 | | 0.00 | |

| Employee ID | Employee Name | Citz Code | Reci Code | Deduction Code Desc. | Effective Date | Status | Options 1 | Options 2 | Options 3 | Amount | One | |
|-------------|----------------------------------------------------------------------------------------------|-----------|-----------|----------------------|----------------|------------|-----------|-----------|-----------|--------|-----|--|
| | | | | FED Fed Tax | 10/01/2005 | Active | S | 1 | 1 | 0.00 | | |
| | *WARNING* Record created after last paid date. An adjustment to prior payroll may be needed. | | | | | | | | | | | |
| | | | | FED Fed Tax | 01/05/2006 | Exempt | S | 1 | 1 | 0.00 | | |
| | *WARNING* Record created after last paid date. An adjustment to prior payroll may be needed. | | | | | | | | | | | |
| | | | | FED Fed Tax | 06/01/2006 | Active | S | 1 | 1 | 0.00 | | |
| | *WARNING* Record created after last paid date. An adjustment to prior payroll may be needed. | | | | | | | | | | | |
| | | | | ILL Illinois | 10/01/2005 | Active | | | 1 | | | |
| | *INFO* No changes. | | | | | | | | | | | |
| | *WARNING* Existing record(s) have been deleted {02-NOV-05}. | | | | | | | | | | | |
| | | | | ILL Illinois | 01/05/2006 | Exempt | | | 1 | | | |
| | *WARNING* Record created after last paid date. An adjustment to prior payroll may be needed. | | | | | | | | | | | |
| | | | | ILL Illinois | 06/01/2006 | Active | | | 1 | | | |
| | *WARNING* Record created after last paid date. An adjustment to prior payroll may be needed. | | | | | | | | | | | |
| | | | | FIO OASDI | 01/01/2006 | Exempt | | | | | | |
| | *INFO* No changes. | | | | | | | | | | | |
| | | | | FIM Fica Med | 01/01/2006 | Exempt | | | | | | |
| | *INFO* No changes. | | | | | | | | | | | |
| TAX000003 | Castellano, Ramon | NR | 01 | | | | | | | | | |
| | *INFO* No change on citizen info. Record is not updated. | | | | | | | | | | | |
| | | | | F19 Treaty | 01/05/2006 | Active | @1 | 1 | 1 | 0.00 | | |
| | | | | F19 Treaty | 05/31/2006 | Terminated | @1 | 1 | 1 | 0.00 | | |
| | | | | IL9 Il Trty | 01/05/2006 | Active | @1 | 1 | | 0.00 | | |
| | | | | IL9 Il Trty | 05/31/2006 | Terminated | @1 | 1 | | 0.00 | | |
| | | | | I29 IL Trty | 01/05/2006 | Active | @1 | 1 | | 0.00 | | |
| | | | | I29 IL Trty | 05/31/2006 | Terminated | @1 | 1 | | 0.00 | | |
| | | | | FED Fed Tax | 01/05/2006 | Exempt | S | 1 | 1 | 0.00 | | |
| | | | | FED Fed Tax | 06/01/2006 | Active | S | 1 | 1 | 0.00 | | |

Report : XPDP1042

Banner University
1042S Interface Process
Update Mode
Release 7.1

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RUN TIME 04:08 PM

*** REPORT CONTROL INFORMATION ***

| Parameter Name | Value | Source | Message |
|-----------------------------|--------|---------|-------------|
| Parameter Seq No: | 175095 | | |
| Process Mode: | U | Default | Update Mode |
| Update Citizenship Data: | Y | Default | |
| Update Recipient Data: | Y | Default | |
| Update Ben/Dedn Data: | Y | Default | |
| Benefit Begin Date: | | Default | |
| Benefit End Date: | | Default | |
| Population Select: | N | Default | |
| Line Count: | 55 | Default | |
| Total Employees Interface: | 9 of | 9 | |
| Employees with Error: | 0 | | |
| Employee Records Changed: | 9 | | |
| Citizen Records Updated: | 0 | | |
| Recipient Records Updated: | 6 | | |
| Deduction Records Inserted: | 36 | | |
| Deduction Records Updated: | 46 | | |
| Deduction Records Deleted: | 3 | | |
| Total Records Changed: | 91 | | |

Field Map - Windstar Payment Information Data Export (payment.dat) and Banner

The following table provides a mapping of fields between the Windstar Data Export file and Banner. This table is ordered by the *type of Banner update*, dependent on parameter entries.

The following field formats have been used below.

X = alpha-numeric

! = Alpha

9 = Numeric text

T/F = True/False

| Start Position | Field | Length | Item Description | Field Format | Comments | Banner Form and Field |
|----------------------------------|-------|--------|--------------------------|--------------|----------------------------------------------|----------------------------------------------------|
| Standard Definition of ID Record | | | | | | |
| 1 | A1-A7 | 166 | ID Record | | | Matching of PPAIDEN data; PEAEMPL Recipient Code |
| PPAIDEN Citizenship Update | | | | | | |
| 202 | E10 | 1 | Current Residency Status | ! | N = Non Resident Alien R = Resident Alien | PTRFPIN Matched to Residency Status |
| 347 | E37 | 4 | Visa Type | XXXX | | PTRFPIN Matched to Visa Type and Residency Status. |
| PEAEMPL 1042S Recipient Update | | | | | | |

| Start Position | Field | Length | Item Description | Field Format | Comments | Banner Form and Field |
|----------------------------|-------|--------|----------------------------------|----------------------------------|-------------------------------------------------------------------------------------------|-------------------------------------------------------------|
| 401 | E499 | 2 | Recipient Code | 99 | IRS Codes | PEAEMPL 1042-S Resident |
| Treaty Benefits/Deductions | | | | | | |
| 171 | E2 | 2 | Income Code | 99 | Standard 1042S Income Codes | PTRFPIN Matched to Income Code |
| 178 | E4 | 1 | Income Code Subtype | X | L = Living Expense Scholarship Q = Qualified Scholarship N = Not Applicable | PTRFPIN Matched to Income Code Subtype |
| 191 | E8 | 10 | Date Benefit Ends | 99/99/ 9999 MM/DD/ YYYY | 12/31/YYYY Tax Year Benefits Actual Date | PDAEDN Selection of possible Benefit End Date. |
| 214 | E13 | 10 | Target Departure Date | 99/99/ 9999 MM/DD/ YYYY | Ending Date on latest Visa/ Primary Activity | PDAEDN Selection of possible Benefit End Date. |
| 234 | E15 | 2 | Tax Residence Country Code | XX | IRS Codes | PDAEDN Option 1 for Treaty type Benefit or Deduction. |
| 249 | E20 | 4 | Amount of Additional Withholding | 9999 | Example: 1733 or \$17.33 per month | PDAEDN Amount 1. |
| 253 | E21 | 1 | Personal Exemption | 9 | 0 or 1 | PDAEDN Added to Additional Exemptions Allowed for Option 2. |
| 254 | E22 | 2 | Additional Exemptions allowed | 99 | Used for Canada, Mexico, Japan, So. Korea, Indian Students, Amer. Samoa, No. Mariana Isl. | PDAEDN Added to Personal Exemption for Option 2. |

| Start Position | Field | Length | Item Description | Field Format | Comments | Banner Form and Field |
|--------------------------|-------|--------|--------------------------|----------------------------------|----------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------|
| 281 | E28 | 2 | State Code | XX | State reporting earnings | PDAEDN; Used to identify State Treaty or State Income Tax Benefit or Deduction. |
| 388 | E46 | 10 | Treaty From Signed Date | 99/99/ 9999 MM/DD/ YYYY | 8233 or W-8 ben or W-9 signed date | PDAEDN; Used to trigger the set up of Treaty Benefit or Deduction. |
| 399 | E48 | 2 | Exemption Code | XX | 00 = NOT tax exempt 02 = Tax exempt by IRC 04 = Tax Treaty exempt WS = Windstar value | PTRFPIN Matched to Exemption Code |
| 404 | E51 | 1 | Exemption Code | T/F | New 2006 W4 Rules, should the individuals gross income amount be increased as per IRS 2005-76. Values include: T = 1 F = 0 | PDAEDN, Option 3 |
| FICA Benefits/Deductions | | | | | | |
| 246 | E17 | 1 | Exempt (NRA) from FICA | T/F | T = No withholding of Social Security because of NRA. | PDAEDN Used in conjunction with 247 (E18) to trigger FICA Benefit or Deduction. |
| 247 | E18 | 1 | Exempt Student from FICA | T/F | T = No withholding of Social Security because of 12-20 Student Rule | PDAEDN Used to trigger FICA Benefit or Deduction. Both must be false for an active benefit or deduction. |

Federal and State Income Tax Benefits/Deductions

| Start Position | Field | Length | Item Description | Field Format | Comments | Banner Form and Field |
|----------------|-------|--------|----------------------------------|----------------------------------|-------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------|
| 203 | E11 | 10 | Date individual becomes RA | 99/99/ 9999 MM/DD/ YYYY | Mathematical date from SPT that individual becomes Resident Alien in specified tax year. | PDAEDN Option 1, 2 and Amount 1. Used in set up for Federal and State Income Tax Benefit or Deduction. |
| 249 | E20 | 4 | Amount of Additional Withholding | 9999 | Example: 1733 or \$17.33 per month | PDAEDN Amount 1. |
| 253 | E21 | 1 | Personal Exemption | 9 | 0 or 1 | PDAEDN Added to Additional Exemptions Allowed for Option 2. |
| 254 | E22 | 2 | Additional Exemptions allowed | 99 | Used for Canada, Mexico, Japan, So. Korea, Indian Students, Amer. Samoa, No. Mariana Isl. | PDAEDN Added to Personal Exemption for Option 2. |
| 271 | E27 | 10 | RA Effective Date | 99/99/ 9999 MM/DD/ YYYY | Date that individual became a Resident Alien. | PDAEDN Option 1, 2 and Amount 1. Used in the set up for Federal and State Income Tax Benefit or Deduction. |

| Start Position | Field | Length | Item Description | Field Format | Comments | Banner Form and Field |
|----------------|-------|--------|------------------|--------------|----------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------|
| 281 | E28 | 2 | State Code | XX | State reported earnings | PDAEDN; Used to identify State Treaty or State Income Tax Benefit or Deduction. |
| 404 | E51 | 1 | Exemption Code | T/F | New 2006 W4 Rules, should the individuals gross income amount be increased as per IRS 2005-76. Values include: T = 1 F = 0 | PDAEDN, Option 3 |



This chapter documents the technical information associated with the Windstar Interface.

Tables

Individual Information Upload Repeating Table (PERINDV)

This table stores individual data that is to be uploaded from Banner, into the Windstar International Tax Navigator by the 1042-S Upload Process (XPEP1042).

1042S Information Upload Repeating Table (PER1042)

This table stores 1042-S information that is to be uploaded from Banner, into the Windstar International Tax Navigator by the 1042-S Upload Process (XPEP1042).

Windstar Payment Information Repeating Table (PDR1042)

This table stores 1042-S data that has been updated in the Windstar International Tax Navigator.

Foreign Persons Income Deduction Rule Table (PTRINCD)

This table stores mapping information of Income Code, Income Code Subtype and Exemption Code associated with the Banner Benefit Deduction Code

Foreign Persons Citizenship Rule Table (PTRCITZ)

This table stores mapping information for the Residency Status and Visa Type associated with the Banner Citizenship Code.

Flat File Column Definition Rule Table (PTRFILE)

This table stores the flat file column definitions that are being used by the XPEP1042 upload process and the XPDP1042 download process.

Third Party Vendor Code Validation Table (PTVTPCD)

This table stores all Third Party Vendor Codes.

Third Party Category Code Base Table (PTVBTPC)

This table stores all Category Codes that belong to the vendor.

Third Party Category Code and Map Column Repeating Table (PTRTPCM)

This table stores Third Party Vendor Codes, Category Codes, the program that uses these codes, and the column name. The values stored in this table are used on the PTRTPCD form for validation purposes.

Third Party Category Code Repeating Table (PTRTPCS)

This table stores the values that belongs to each category code created in PTVBTPC.

Seed Data

These scripts insert new Windstar codes and tax codes in Banner for use with the Windstar interface.

Note

The following SQL scripts may have been run during the Banner Release installation. Please check with your technical staff before running these scripts.

PTVTPCD4.SQL

This script inserts the new third party vendor code, **WS**, into the Third Party Vendor Code Validation Table (PTVTPCD). This code can then be accessed via the Third Party Code Rule Form (PTVTPCD).

PTVBTPC4.SQL

This script inserts the new Third Party Category Codes into the Base Table (PTVBTPC). These codes can be accessed via the Third Party Code Rule Form (PTRTPCD).

PXRTXCD1.SQL

This script inserts the new tax codes, **FD15L** and **FD15Q** into the following tables, Tax Additional Step Table (PXRADDS), Tax Graduated Table (PXRGRAD), Tax Exemption Repeating Table (PXREXEM), Alternate Tax Calculation Table (PXRCALC), Tax Filing Status Table (PXRFTA), and the Tax Code Table (PXRTXCD).

PTRFILE1.SQL

This script adds the following information as seed data for the new column PDR1042_ADD_TO_GROSS.

| PTRFILE Column | Values |
|-----------------------|-----------------------------|
| PTRFILE_PROCESS_ID | <i>XPDP1042</i> |
| PTRFILE_RECORD_ID | <i>R3</i> |
| PTRFILE_COL_NAME | <i>PDR1042_ADD_TO_GROSS</i> |
| PTRFILE_POS | <i>404</i> |
| PTRFILE_LENGTH | <i>1</i> |
| PTRFILE_DATA_TYPE | <i>CHAR</i> |
| PTRFILE_REQUIRED_IND | <i>N</i> |
| PTRFILE_USER_ID, | <i>USER</i> |
| PTRFILE_ACTIVITY_DATE | <i>SYSDATE</i> |

PTRFILE4.SQL

This script inserts the Windstar file layout data into the Flat File Column Definition Rule Table (PTRFILE).

PTRFILEU6010301.SQL

This script updates seed data in the PTRFILE table as follows:

- Changes the record ID of residency status from R1 to R0
- Changes the record ID of become RA date and RA effective date from R99 to R3. These fields are to be used when updating benefit or deductions.
- Changes the length ID from 15 to 9.
- Updates the PTRFILE_PROCESS_ID value from PDP1042 to XPDP1042, and PXP1042 to XPXP1042.

Windstar Payment Information Data Export (payment.dat) mappings to Banner

The following table provides a one-on-one mapping between the fields in the `payment.dat` export file and Banner. The table is ordered with reference to the *start position* of all fields in the data export file.

The following field formats have been used below.

X = alpha-numeric

! = Alpha

9 = Numeric text

T/F = True/False

| Start Position | Field | Length | Item Description | Field Format | Comments | Banner Form and Field |
|----------------|-------|--------|---------------------|--------------|-----------------------------------------------------------------------------------|--------------------------------------------------|
| 1 | A1-A7 | 166 | ID Record | | | Matching of PPAIDEN data; PEAEMPL Recipient Code |
| 171 | E2 | 2 | Income Code | 99 | Standard 1042S Income Codes | PTRFPIN Matched to Income Code |
| 178 | E4 | 1 | Income Code Subtype | X | L = Living Expense Scholarship Q = Qualified Scholarship N = Not Applicable | PTRFPIN Matched to Income Code Subtype |

| Start Position | Field | Length | Item Description | Field Format | Comments | Banner Form and Field |
|----------------|-------|--------|----------------------------|--------------------------|-----------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------|
| 191 | E8 | 10 | Date Benefit Ends | 99/99/9999 MM/DD/YYYY | 12/31/YYYY Tax Year Benefits Actual Date | PDAEDN Selection of possible Benefit End Date. |
| 202 | E10 | 1 | Current Residency Status | ! | N = Non Resident Alien R = Resident Alien | PTRFPIN Matched to Residency Status and Visa Type |
| 203 | E11 | 10 | Date Individual becomes RA | 99/99/9999 MM/DD/YYYY | Mathematical date from SPT that individual becomes Resident Alien in specified tax year | PDAEDN Option 1, 2 and Amount 1 used in set up for Federal and State Income Tax Benefit or Deduction. |
| 214 | E13 | 10 | Target Departure Date | 99/99/9999 MM/DD/YYYY | Ending Date on latest Visa/Primary Activity | PDAEDN Selection of possible Benefit End Date. |
| 234 | E15 | 2 | Tax Residence Country Code | XX | IRS Codes | PDAEDN Option 1 for Treaty type Benefit or Deduction. |
| 246 | E17 | 1 | Exempt (NRA) from FICA | T/F | T = No withholding of Social Security because of NRA. | PDAEDN Used in conjunction with 247 (E18) to trigger FICA Benefit or Deduction. |
| 247 | E18 | 1 | Exempt Student from FICA | T/F | T = No withholding of Social Security because of 12-20 Student Rule | PDAEDN Used in conjunction with 246 (E17) to trigger FICA Benefit or Deduction. |

| Start Position | Field | Length | Item Description | Field Format | Comments | Banner Form and Field |
|----------------|-------|--------|----------------------------------|--------------------------|-------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------|
| 249 | E20 | 4 | Amount of Additional Withholding | 9999 | Example: 1733 or \$17.33 per month | PDAEDN Amount 1 |
| 253 | E21 | 1 | Personal Exemption | 9 | 0 or 1 | PDAEDN Added to Additional Exemptions Allowed for Option 2. |
| 254 | E22 | 2 | Additional Exemptions allowed | 99 | Used for Canada, Mexico, Japan, So. Korea, Indian Students, Amer. Samoa, No. Mariana Isl. | PDAEDN Added to Personal Exemption for Option 2. |
| 271 | E27 | 10 | RA Effective Date | 99/99/9999 MM/DD/YYYY | Date that individual became a Resident Alien. | PDAEDN Option 1, 2 and Amount 1 used in set up for Federal and State Income Tax Benefit or Deduction. |
| 281 | E28 | 2 | State Code | XX | State reporting earnings | PDAEDN Used to identify State Treaty or State Income Tax Benefit or Deduction. |
| 347 | E37 | 4 | Visa Type | XXXX | | PTRFPIN Matched to Visa Type and Residency Status. |
| 388 | E46 | 10 | Treaty From Signed Date | 99/99/9999 MM/DD/YYYY | 8233 or W-8 ben or W-9 signed date | PDAEDN Used to trigger the set up of Treaty Benefit or Deduction. |

| Start Position | Field | Length | Item Description | Field Format | Comments | Banner Form and Field |
|----------------|-------|--------|------------------|--------------|-----------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------|
| 399 | E48 | 2 | Exemption Code | XX | 00 = NOT tax exempt 02 = Tax exempt by IRC 04 = Tax Treaty exempt WS = Windstar value | PTRFPIN Matched to Exemption Code |
| 401 | E499 | 2 | Recipient Code | 99 | IRS Codes | PEAEMPL 1042-S Resident |
| 404 | E51 | 1 | Add to Gross | T/F | New 2006 W4 Rules, should the individuals gross income amount be increased as per IRS 2005-76. Values include: T = 1 F = 0 | PDAEDN, Option 3 |





Troubleshooting

XPDP1042 Warnings and Error Messages

On attempting to run the XPDP1042 process, the following error messages and/or warning messages may be generated:

On attempting to update citizenship information, the following messages may be generated:

***INFO* No change on citizen info.**

The `payment.dat` file is the same as the record data in Banner. The Banner record has not been updated.

***ERROR* Residency Status is required to update citizenship.**

Residency status value is missing on PTRFPIN setup.

***ERROR* Undefined citizen code mapping on Rule form, PTRFPIN for this set (x,y)**

This combination of Residency Status and Visa Type are not defined on PTRFPIN setup.

x = Residency Status and
y = Visa Type

***ERROR* Undefined ID on form PPAIDEN.**

ID does not exist on PPAIDEN.

***ERROR* Visa Type is required to update citizenship.**

Visa Type value is missing in PTRFPIN setup.

On attempting to update recipient information, the following error messages may be generated:

***INFO* No change on recipient info.**

The `payment.dat` file is the same as the record data in Banner. The Banner record has not been updated.

***ERROR* Recipient Code is required to update recipient info.**

Recipient code is missing from the payment.dat file.

On attempting to update benefit or deduction information, the following messages may be generated:

***INFO* No change on deduction info.**

The payment.dat file is the same as the record data in Banner for deduction status, deduction code, filing status, options, and additional amount withholding elements. The effective date may be different. The Banner record has not been updated.

***ERROR* A core benefit record must exist.**

This benefit or deduction requires associated core benefit or deduction record to be set up on the Benefits and Deductions Rules Form (PTRBDCA).

***ERROR* Begin date is required.**

No active benefit or deduction record has been set up on the Employee Benefit or Deduction Form (PDAEDN).

***ERROR * Benefit/Deduction is a precluded deduction and cannot be inserted.**

An existing benefit or deduction for this employee has precluded deductions identified on the Benefits and Deductions Rules Form (PTRBDCA).

***ERROR* Exempt (NRA) from FICA or Exempt Student from FICA is required for this benefit/deduction.**

Exempt FICA indicators are missing from the payment.dat file.

***ERROR* Exemption code is required for this benefit/deduction.**

Exemption code is missing from the payment.dat file.

***ERROR* Income code is required for this benefit/deduction.**

Income code is missing from the payment.dat file.

***ERROR* Income Code Subtype is required for this benefit/deduction.**

Income Code Subtype is missing from the payment.dat file.

***ERROR* Invalid deduction for employee's benefit category.**

The benefit or deduction is not defined for the benefit category on PTRBCAT.

***ERROR* Invalid filing status in Option 1.**

Country code in `payment.dat` file is not defined on PXAFSTA for treaty.

***ERROR* Invalid State Code on PXATXCD or PDP1042**

State code in `payment.dat` file does not match the State code defined on PXATXCD for the specific benefit or deduction. Windstar only allows for one state, therefore the state benefit or deduction must match the state in the Windstar International Tax Navigator. Any additional state deductions must be set up manually.

***ERROR* Invalid State Tax Type on PXATXCD.**

Tax Type is not defined as State on PXATXCD.

***ERROR* Effective date must be greater than last paid date.**

Manually set up the benefit or deduction in the Employee Benefit or Deduction Form (PDAEDN).

***ERROR* Employee is deceased and terminated.**

Employee is deceased or terminated on PEAEMPL.

***ERROR* End Date must be greater than Effective Date.**

The End Date of benefit or deduction must be later than the Begin Date.

***ERROR* ID does not exist.**

ID does not exist on PPAIDEN or ID from Windstar is different from Banner ID.

***ERROR* Person has a current status of terminated.**

Employee Status is Terminated on PEAEMPL.

***ERROR* Person is deceased.**

Person is deceased as indicated on PPAIDEN.

***ERROR* Person is not an employee.**

Person is not set up on the Employee Form (PEAEMPL).

***ERROR* Record is being updated by another user or program while attempting to update citizen code.**

Another user or program is updating PPAIDEN record.

***ERROR* Record is being updated by another user or program while attempt updating recipient code.**

Another user or program is updating PEAEMPL record.

***ERROR* State code is required for this ben./dedn.**

State Code is missing from the `payment.dat` file.

***ERROR* Tax Residence Country Code is required for this benefit/ deduction.**

Tax Residence Country Code is missing from the `payment.dat` file.

***ERROR* Tax year is required for all benefits/deductions.**

Tax year is missing from the `payment.dat` file.

***ERROR* Treaty Form Signed Date is required for Deduction Types 20, 21 and 22.**

The `payment.dat` file does not have a treaty signed date to create the treaty deduction.

The process will not create the deduction in Banner.

***ERROR* Undefined ben/dedn. code mapping on Rule form PTRFPIN for this set (x,y,z).**

This combination of Income code, Exemption code and Income code Subtype is not defined on PTRFPIN, where:

x = Income code

y = Exemption code

z = Income code subtype

***ERROR* Undefined Tax Code on Benefit/Deduction Rule Form (PTRBDCA).**

Tax code is not defined for state deduction on the Benefits and Deductions Rules Form (PTRBDCA).

***ERROR* xx undefined country code on PXAFSTA.**

Country code in `payment.dat` file is not defined on PXAFSTA for treaty.

***ERROR* xx undefined country code on form PXAFSTA.**

Country code in `payment.dat` file is not defined on PXAFSTA for *state tax code*.

***WARNING* Amount One is null; defaulted to zero.**

PDADEDN record Amount 1 has been updated from null to zero.

***WARNING* Begin date is updated.**
***WARNING* Existing record(s) have been deleted**
{DD-MON-YY}.

A new Begin Date for existing benefit or deduction record is earlier than the existing Begin Date within the same tax year.

The new Begin Date record is created and the existing Begin Date record will be deleted.

***WARNING* Deduction bypassed.**

An error occurred associated with the deduction setup that requires a user resolve, such as no treaty signed date or deduction not defined for the benefit category.

The process will not create the deduction in Banner.

***WARNING* Existing record(s) have been deleted**
{DD-MON-YY}.

A new Effective Date for existing benefit or deduction record is earlier than the existing Begin Date within the same tax year.

The new Effective Date record is updated and the future Effective Date records will be deleted,

OR

A new End Date for existing benefit or deduction record is earlier than the existing End Date within the same tax year.

The new End Date record is created and the future End Date record will be deleted.

***WARNING* End Date cannot exist when status of last effective date is non-terminated; Clearing End Date.**

A new record was being inserted with a status of active or exempt but an End Date existed on the base record.

The End date on the base record has been cleared and the status updated.

***WARNING* Personal Exemption is null; defaulted to zero.**

PDADEDN record Option 2 has been updated from null to zero.

***WARNING* Record created after last paid date. An adjustment to prior payroll may be needed.**

The insertion of a deduction new record cannot be prior to the last paid date.

The change to the record was in effect prior to the last paid date, therefore the employee may need a payroll adjustment. The user should review the deduction records in Banner to determine if this is the case.