

Banner Human Resources Release Notes

*Release 8.2.4
December 2009*



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Publication Date	Summary
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December 2009	New version that supports Banner Human Resources 8.2.4 software.
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1 Release Summary



The Release Notes provides an overview of the enhancements made to the year-end reporting functionality of Banner Human Resources 8.2.4. This document also lists technical updates and associated problem resolutions.

Year-End regulatory reporting functionality in Banner Human Resources refers to the generation of:

- U.S. W-2s and the EFW2 File
- 1099-Rs
- 1042-Ss

Note

For the tax year 2009, there are no changes to the Puerto Rico W-2PR form or magnetic media file, as of the date of this documentation. Please refer to the current documentation for more details. ■

System Requirements

Install the following minimum product releases to upgrade to Banner Human Resources 8.2.4.

- Banner General 8.1
- Banner Human Resources 8.1.1
- Banner Position Control 8.1

Summary of Changes to Banner Forms, Reports, and Processes

This section provides an overview of all changes made for Banner Human Resources 8.2.4.

1099-R Distribution Code Validation Form (PTV1099)

A new 1099 code, *U, Dividend distribution from ESOP under sec. 404(k)*, has been added to the validation form. Accordingly, a seed script has been provided to update the form with this new data.

The existing code, *E*, has been modified to change the code description.

For more details, refer to the section, [“2009 1099-R Enhancements - Technical” on page 93](#).

W-2 2009 EFW2 File (PXPW209)

The process generates the electronic file in EFW2 format for the year 2009 and future.

United States W-2 2009 (PXRW209)

The process generates and prints U.S. W-2s for the year 2009 and future.

1042-S Media Transmission (PXPMT42)

Minor modifications have been made to maintain the PXPMT42 process to IRS file specifications. For more details, refer to the [“1042-S Media Transmission \(PXPMT42\)” on page 61](#).

2 2009 U.S. W-2 and EFW2 File Enhancements - Functional



This section documents the regulatory changes applied to Banner forms and reports with regard to generating and printing U.S. W-2s.

Introduction

In Banner Human Resources, the following changes have been made to process 2009 U.S. W-2s:

- A new Banner report, United States W-2 2009 (PXRW209), has been created to generate the U.S. W-2s for 2009.
- A new process U.S. W-2 2009 EFW2 File (PXPW209), has been created to generate the electronic EFW2 file for U.S. W-2s.
- For 2009, there are no changes to the EFW2 electronic file format for U.S. W-2s. Detailed specifications of the EFW2 format are available and can be downloaded from the following web site:
<http://www.ssa.gov/employer/>
- Defect 1-87OCHV has been completed.



New Process and Report

United States W-2 2009 (PXRW209)

Description Generates United States W-2 form, Form 6559 totals report, and the error/log report p_xrw209.log for tax year 2009 and greater.

 **Note**

Upon installing this release of Banner Human Resources:

- The 2008 version for printing U.S. W-2s, namely PXRW208 and PXPW208 can *no longer be used* for generating U.S. W-2s for *years beyond 2008*.
- PXRW208 and PXPW208 can be used for generating *only 2008 U.S. W-2s*.
- The 2009 versions, PXRW209 and PXPW209 can be used for printing U.S. W-2s for the year 2009 and beyond.

For instructions on generating W-2s, refer to Page [33](#) of the release notes.

Parameters	Name	Description/Values	Required?	Default	Validation
01	Tax Year	Tax year.	Yes	None	Format must be YYYY or YY.
02	Employer Code	Employer code.	Yes	None	PTREMPR
03	Processing Mode	Select a process mode; (C)reate Produces W-2s only if Tax Quarter A is selected in parameter 04. (R)eprint May only be used with Tax Quarter A to reprint one, several or all W-2s. (T)otals Only	Yes	None	C, R, or T.

Parameters	Name	Description/Values	Required?	Default	Validation
04	Tax Quarter	<p>Quarters:</p> <ul style="list-style-type: none"> 1 First 2 Second 3 Third 4 Fourth <p>In each case above, the system generates the Form 6559 totals report only. Quarter-to-date totals are not included.</p> <p>All Quarters: A This is the only value that generates W-2s.</p>	Yes	A	None
05	Specific Employee IDs' Indicator	<p>Do you want to process specific employees?</p> <p>Y Prompt for specific employee IDs. (See the Employee ID parameter below.)</p> <p>N Process forms for all employees.</p>	Yes	N	None
06	Employee IDs	<p>Employee ID numbers identifying the employees whose forms are to be processed. This is a repeating parameter.</p> <p>This parameter is required when you enter <i>Y</i> for the Specific Employee IDs parameter.</p>	No	None	None
07	W-2 Form Type	<p>W-2 Format:</p> <ul style="list-style-type: none"> 1 Standard IRS 1-Up 2 Laser 4-Up 3 Laser (pressure sealed) forms <p>This parameter is required when you specify the value, <i>A</i> (for all quarters) for the Tax Quarter parameter.</p>	No	1	None

Parameters	Name	Description/Values	Required?	Default	Validation
08	Print Sort Order	<p>This parameter is required when you enter A (for all quarters) for the Tax Quarter parameter. It determines how the Control Number is assigned, and the order in which the W-2s should print. Select any one of the following values:</p> <ol style="list-style-type: none"> 1 Sort by Employee Name—Sorts according to last name, first name, middle initial/name. 2 Sort by ZIP Code—Sorts according to the ZIP code starting with the lowest number. Within the same ZIP code, W-2s are sorted alphabetically. 3 By Check Distribution Organization— Sorts according to the Check Distribution value on the Employee Form (PEAEMPL). Within the check distribution value, sorted alphabetically. 4 U.S./Canada Zipcode Sorts by zip code for U.S.A and Canada only. All other nations will be printed at the beginning of the file. <p>Note: Remember, to use this sort feature, populate the MMREF code on the STVNATN for the U.S. and Canada.</p> <p>Addresses will then be sorted into the following groups:</p> <ul style="list-style-type: none"> • Addresses with a null MMREF Code on the Nation Code Validation Form (STVNATN) will be sorted at the top followed by, • Countries other than U.S. and Canada sorted in the descending order by Country, followed by, • U.S. and Canada sorted in the descending order by Zip Code. 	No	None	None

Parameters	Name	Description/Values	Required?	Default	Validation
		<p>Note: Be sure to read the following information about how the Control Number is assigned to the PXRW209 report.</p> <p>The value of the Print Sort Order parameter determines the Control Number of the W-2 report. Due to the sort order, the control number may not be printed in an alphabetical order. The Control Number is stored in the PXRW2FD table.</p> <ul style="list-style-type: none"> In the <i>Create</i> mode, for new W-2s, the Control Number is a 1-up number from the maximum value stored in the PXRW2FD table. It is a combination of year, quarter, and employer combination. If a W-2 is re-issued for an employee, the same Control Number originally issued for that employee, will be used from the PXRW2FD table. This enables you track the W-2. 			
09	Zero Out Negative Amounts	<p>Do you want to zero out negative box amounts?</p> <p>Y Yes, substitute zeroes for negative amounts</p> <p>N No, display negative amounts</p>	Yes	N	None
10	Print Paper W-2 for all	<p>Print paper W-2s for all employees regardless of their electronic consent.</p> <p>Y Yes, print paper W-2s for all employees.</p> <p>N No, prints paper W-2s for employees who have <i>not</i> given their electronic consent.</p>	No	N	None

Parameters	Name	Description/Values	Required?	Default	Validation
11	Mark as Reissued W-2	Allows you to designate W-2s as Reissued. Use this parameter when you select the Create Processing Mode. Y Yes, designate W-2s as reissued. N No, do not designate W-2s as reissued.	No	N	None
12	Number of Alignment Pages	Indicates the number (range 0-9) of alignment pages that will precede the actual W-2 Forms.	No	None	None
13	Suppress Zero W-2 Messages	Indicate if printing messages for W-2s with zero tax amounts are to be suppressed. Y Yes, suppress zero U.S. W-2s error messages N No, include zero U.S. W-2s error messages	No	Y N	None
14	Print W-2 with no address	Indicate if you wish to print W-2s for employees whose address may be missing. Y Yes, print W-2s for employees whose address information is missing. N No, do <i>not</i> print W-2s for employees whose address information is missing. Print a warning at the beginning of the file.	No	N	None
15	Population Selection Indicator	Indicate if population selection is to be used: Y Yes, use population selection to generate W-2s. N No, population selection will not be used.	Yes	N	None
16	Population Selection ID	Specify ID of the population selected. Enter this parameter only if you set the Population Selection parameter to <i>Y</i> .	No	None	None

Parameters	Name	Description/Values	Required?	Default	Validation
17	Creator ID	Creator ID for population selection. Enter this parameter only if you set the Population Selection Indicator parameter to <i>Y</i> .	No	None	None
18	Application Code	Application ID for population selection. Enter this parameter only if you set the Use Population Selection parameter to <i>Y</i> .	No	None	None

Sort Order

Not applicable

Data Source

Payroll forms and tables

Frequency

On demand

Output

Preprinted form for W-2s. Standard horizontal report format for error report, totals, and control information pages.

Fields	Name	Description
	Box a	Employee's Social Security number.
	Box b	Employer's IRS-assigned identification number (EIN).
	Box c	Employer's full name, address, and ZIP Code.
	Box d	Control number. This number is used as an ordering system to account for all W-2s used for the tax year.

Fields	Name	Description
	Box e	<p>Employee's first name, middle initial, last name, and suffix if specified on the Employee Form (PEAEMPL) or the Identification Form (PPAIDEN). If a name is entered on PEAEMPL, it will override the existing name on PPAIDEN.</p> <p>The Employee's suffix will be printed, if specified on the Identification Form (PPAIDEN) or on the Employee Form (PEAEMPL), in a separate area under Box e on the U.S. W-2 form.</p> <ul style="list-style-type: none"> • If the name suffix exceeds 2 characters, including punctuation, no suffix will be printed. This prevents improper truncation, for example if III was entered and truncated to II, the suffix would be incorrectly reported. • If the length of employee's last name or suffix exceeds their respective form box, then the employee's full name will be printed as one string across the first name, last name, and suffix boxes disregarding the lines separating the boxes. If the name exceeds the available space, it will be truncated. <p>The following list shows where information is collected for name and address</p>
	Box f	Employee's address and ZIP Code. Up to five address lines can print.
	Box 1	Total wages, tips (except for allocated tips reported in Box 8), and other compensation paid to the employee during the year.
	Box 2	Amount of federal income tax withheld from the employee's wages for the year.
	Box 3	Total amount of wages subject to the Social Security tax.
	Box 4	Social Security tax withheld.
	Box 5	Total amount of wages and tips subject to the Medicare tax.
	Box 6	Total amount of Medicare tax withheld from the employee's wages and tips for the year.
	Box 7	Total amount of tips subject to the Social Security tax.
	Box 8	Tips allocated to this employee. The amount in this field is not reflected in Box 1.
	Box 9	Total amount paid to the employee as advance Earned Income Credit (EIC) payment.

Fields	Name	Description
	Box 10	Amount of dependent care benefits under Section 129 of the Internal Revenue Code paid or incurred for the employee. The amount shown includes any amount in excess of the \$5,000 exclusion.
	Box 11	Amount of distributions to the employee from a non qualified plan and/or a Section 457 plan. This amount is also included in the amount in Box 1.
	Boxes 12	Amounts for one or more of the following codes when applicable to this employee: <ul style="list-style-type: none"> A Uncollected Social Security tax on employee tips B Uncollected Medicare tax on employee tips C Cost of group-term life insurance coverage provided to this employee in excess of \$50,000 D Elective contribution to Section 401(k) plan E Elective contribution to Section 403(b) annuity F Elective contribution to Section 408(k)(6) SEP G Elective and non-elective deferrals to Section 457(b) (state and local government employers) H Pretax deferrals to Section 501(c)(18)(D) plan (tax exempt organizations) I Not in use

Fields	Name	Description
Boxes 12 (cont.)	K	20% excise tax on excess “golden parachute” payments
	L	Non-taxable part of business expense reimbursements
	M	Uncollected Social Security tax on taxable group-term life insurance coverage provided to a former or retired employee
	N	Uncollected Medicare tax on taxable group-term life insurance coverage provided to a former or retired employee
	P	Non-taxable relocation reimbursements
	Q	Non-taxable combat pay
	R	MSA contributions
	S	SIMPLE contributions
	T	Adoption benefits
	W	Health Savings Accounts
	Y	Deferrals under section 409A
	Z	Income under section 409A
	AA	Designated Roth Contributions to Section 401(k)
	BB	Designated Roth Contributions to Section 403(b)
Box 13	Appropriate boxes are checked to indicate the following:	
	Statutory employee	Checked if there are earnings subject to Social Security tax and Medicare tax but not to federal income tax withholding
	Deferred compensation	Checked if contributions were made on the employee's behalf to a section 401(k), 403(b), 408(k)(6), 457, or 501(c)(18)(D) plan

Fields	Name	Description
	Box 14	Additional information provided to employees. Examples include: <ul style="list-style-type: none"> • Union dues • Health insurance premiums deducted • Moving expenses paid • Educational assistance payments
	Box 15	Employer's state and state ID number.
	Box 16	State wages, tips, and other compensation
	Box 17	State income tax.
	Box 18	Local wages, tips, etc.
	Box 19	Local income tax.
	Box 20	Locality name.
	UITO	Quarter-to-date Unemployment Insurance total wages. Note: This field appears only on the W-2 Summary page, and is only reported when it is run for a specific quarter. It does not appear on W-2s.
	UITX	Quarter-to-date Unemployment Insurance taxable wages. Note: This field appears only on the W-2 Summary page, and is only reported when it is run for a specific quarter. It does not appear on W-2s.

The following table shows where information is collected for name and address.

Banner Form	Field Name	Used in PXRW209 regulatory process
PEAEMPL/PPAIDEN	SUBSTR(DECODE(pebempl_ssn_last_name, NULL, spriden_first_name, pebempl_ssn_first_name),1,15)	Box e Employee's first name and initial
PEAEMPL/ PPAIDEN	SUBSTR(DECODE(pebempl_ssn_last_name, NULL, spriden_last_name, pebempl_ssn_last_name),1,20)	Box e Employee's Last name
PEAEMPL/ PPAIDEN	SUBSTR(DECODE(pebempl_ssn_last_name, NULL, spriden_mi, pebempl_ssn_mi),1,15)	Box e Employee's Suffix
PPAIDEN	spraddr_street_line1, spraddr_street_line2, spraddr_street_line3, spraddr_city ', ' spraddr_stat_code ', ' spraddr_zip, DECODE(NVL(stvnatn_code,:institution_natn_code), :institution_natn_code,NULL, stvnatn_nation)	Box f Employee's address and ZIP code

Report Sample—United States W-2 2009 (PXRW209)

REPORT : PXRW209	BANNER University United States W-2 2009	RUN DATE 11-NOV-2009 RUN TIME 05:01 PM
* * * W-2 TOTALS * * *		
Employees selected		32
Employees with errors		0
Employees with no amounts to report		2
W-2 records created		30
Printing errors		0
Forms printed (includes multiples per employee)		46
Electronic W-2s		0
1 Wages, tips, other compensation	891,509.15	
2 Federal income tax withheld	245,270.29	
3 Social security wages	393,183.27	
4 Social security tax withheld	23,699.60	
5 Medicare wages and tips	938,517.33	
6 Medicare tax withheld	13,442.63	
7 Social Security tips	508.00	
8 Allocated Tips	394.00	
9 Advance EIC payment	939.36	
10 Dependent care benefits	1,840.00	
11 Non-qualified Plans	32,860.58	
12A Uncollected Social Security Tax on tips	508.00	
12B Uncollected Medicare tax on tips	508.00	
12C Cost of Group-term life insurance over \$50000	754.40	
12D Section 401(k) contributions	1,996.71	
12E Section 403(b) contributions	1,201.28	
12F Section 408(k)(6) contributions	2,900.02	
12G Section 457 contributions	3,505.78	
12H Section 501(c)(18)(D) contributions	.00	
12J Sick pay NOT includible as income	56.00	
12K Tax on excess golden parachute payments	.00	
12L Substantiated mileage allowance reimbursement	57.90	
12M Uncollected Social Security tax, Group-term life	754.40	
12N Uncollected Medicare tax, Group-term life	754.40	
12P Nontaxable relocation reimbursements	.00	
12Q Nontaxable combat pay	117.58	
12R Employer contributions to Medical Savings Accounts	800.00	
12S SIMPLE retirements accounts	7,550.00	
12T Qualified adoption expenses	.00	
12V Exercise of nonstatutory stock option(s)	.00	
12W Employer contributions to Health Savings Accounts	2,110.00	
12Y Deferrals under section 409A	5,130.27	
12Z Income under section 409A	458.00	
12AA Designated Roth contributions to Section 401(k)	1,996.71	
12BB Designated Roth contributions under Section 403(B)	1,201.28	
14 Other items	7,387.26	
16 State Wages, Tips, etc.	1,084,020.33	
17 State Income Tax	33,237.85	
18 Local Wages, tips etc.	903,749.84	
19 Local income tax	12,712.44	
UITO Unemployment Insurance Total Wages (S record QTD)	.00	
UITX Unemployment Insurance Taxable Wages(S record QTD)	.00	

REPORT : PXRW209

BANNER University
United States W-2 2009

RUN DATE 11-NOV-2009
RUN TIME 05:01 PM

* * * REPORT CONTROL INFORMATION * * *

Parameter Name	Value	Message
Parameter Seq No:	287414	
Tax Year:	2009	
Employer Code:	REG	
Processing Mode:	C	
Tax Quarter:	A	
Specific IDs Ind:	N	
W-2 Form Type:	1	
W-2 Sort Order:	1	
Zero Out Neg Amt:	Y	
Print Paper W-2:	Y	
Mark as Reissued:	N	
Alignment Pages:	1	
Suppress Zero W-2 Messages:	Y	
Population Select:	N	

W-2 2009 EFW2 File (PXPW209)

Description The W-2 2009 EFW2 File (PXPW209) process generates a file (W2REPORT) in EFW2 format for filing United States W-2 information for years 2009 and greater. The .log file of this report also shows all errors.



Note

After you install this release of Banner Human Resources: ■

- The 2008 version for filing U.S. W-2s, namely PXRW208 and PXPW208 can *no longer be used* for generating U.S. W-2s for *years beyond 2008*.
- PXRW208 and PXPW208 can *only* be used for *2008 U.S. W-2s*.
- The 2009 versions, namely, PXRW209 and PXPW209 must be used for generating W-2s for years 2009 and beyond.
- As of tax year 2008, the process has been modified to convert special characters in Banner flat files, based on values in the General file `gurchnvc.map`. Only those characters included or added to this file will be converted. For example, éclair would not be acceptable to the IRS. Since Internationalization in Banner 8.0, special characters are now recognized in our database.
- The process has been modified to check year-to-date applicable gross for Social Security wages when running for a quarter. This will prevent employees that have reached the SS Old Age maximum from being reported incorrectly as Medicare Qualified Government Employees. This resolves defect 1-87OCHV.

Detailed specifications of the EFW2 file are available and may be downloaded from the following web site:

<http://www.ssa.gov/employer>

For instructions on processing and generating U.S. W-2s, see Page [33](#) of the release notes.

Parameters	Name	Description/Values	Required?	Default	Validation
01	Tax Year	Tax year for which W-2 information is to be processed.	Yes	None	Format must be YYYY or YY
02	Tax Quarter	Tax quarter for which W-2 information is to be processed: 1 First 2 Second 3 Third 4 Fourth A All quarters	Yes	A	None
03	Resubmit File Indicator	Indicate whether the W-2 file is being resubmitted to the Social Security Administration (SSA): Y(es) N(o)	Yes	N	None
04	Resubmit TLCN	The TLCN displayed on the notice from the SSA that the file must be resubmitted. This parameter must be entered when the Resubmit File Indicator is set to Y.	No	None	None

Sort Order

Not applicable

Data Source

Payroll forms and tables

Frequency

Annually on demand following PXRW209

Report Format

Standard horizontal report format for control information page. Primary output is electronic file format.

Fields

Government defined. For a complete listing of the fields, refer to the SSA specifications found at the following web site:

<http://www.ssa.gov/employer>

The following table shows where information is collected for name and address.

Banner Form	Field Name	Used in PXPW209 regulatory process
PPAIDEN/ PEAEMPL	pxrw2fd_empl_first_name SUBSTR(DECODE(pebempl_ssn_last_name, NULL, spriden_first_name, pebempl_ssn_first_name),1,15)	"RW" 12-26, Employee First Name
PPAIDEN/ PEAEMPL	pxrw2fd_empl_mi	"RW" 27-41, Employee Middle Name or Initial
PPAIDEN/ PEAEMPL	pxrw2fd_empl_last_name SUBSTR(DECODE(pebempl_ssn_last_name, NULL, spriden_last_name, pebempl_ssn_last_name),1,20)	"RW" 42-61, Employee Last Name
PPAIDEN/ PEAEMPL	pxrw2fd_empl_suffix SUBSTR(DECODE(pebempl_ssn_last_name, NULL, spriden_mi, pebempl_ssn_mi),1,15)	"RW" 62-65, Suffix
	NULL	"RW" 66-87, Location Address
PPAIDEN	UPPER(spraddr_street_line1 ' ' spraddr_street_line2)	"RW" 88-109, Delivery Address
PPAIDEN	pxrw2fd_empl_first_name SUBSTR(DECODE(pebempl_ssn_last_name, NULL, spriden_first_name, pebempl_ssn_first_name),1,15)	"RS" 19-33, Employee First Name

Banner Form	Field Name	Used in PXPW209 regulatory process
PPAIDEN	pxrw2fd_empl_mi	"RS" 34-48, Employee Middle Name or Initial
PPAIDEN	pxrw2fd_empl_last_name SUBSTR(DECODE(pebempl_ssn_last_name, NULL, spriden_last_name, pebempl_ssn_last_name),1,20)	"RS" 49-68, Employee Last Name
PPAIDEN	pxrw2fd_empl_suffix SUBSTR(DECODE(pebempl_ssn_last_name, NULL, spriden_mi, pebempl_ssn_mi),1,15)	"RS" 69-72, Suffix
	NULL	"RS" 73-94, Location Address
PPAIDEN	UPPER(spraddr_street_line1 ' ' spraddr_street_line2)	"RS" 95-116, Delivery Address

Simple Retirement Account:	.00
Qualified Adoption:	.00
Uncollected SS Life Ins:	65.50
Uncollected MC Life Ins:	65.50
Nontaxable combat pay:	.00
Deferred Comp - 409a:	.00
Income Under 409a:	.00
Roth Contribution to 401k:	768.07
Roth Contribution under 403b:	.00
Third Party FIT Withheld:	9,797.97
State Taxable Wages:	40,553.25
State Income Tax:	1,244.97
Local Taxable Wages:	.00
Local Income Tax:	.00
QTD Unemployment Total Wages:	.00
QTD Unemployment Taxable Wages:	.00

REPORT : PXPW209

BANNER University
W-2 2009 EFW2 File

RUN DATE 12-NOV-2009
RUN TIME 02:05 PM

* * * EMPLOYER TOTALS * * *

Employer Code:	REG
Number of Employees:	28
Wages, tips, other compensation:	850,890.40
Federal Income Tax Withheld:	239,278.12
Social Security Wages:	393,183.27
Social Security Tax Withheld:	23,699.60
Medicare Wages and Tips:	897,898.58
Medicare Tax Withheld:	12,853.66
Social Security Tips:	508.00
Advance EIC Payment:	939.36
Dependent Care Benefits:	1,840.00
Deferred comp - 401k:	1,228.64
Deferred comp - 403b:	1,201.28
Deferred comp - 408k:	2,900.02
Deferred comp - 457b:	3,505.78
Deferred comp - 501c:	.00
Non-qualified 457:	3,505.78
Non-qualified NOT 457:	29,354.80
HSA Employer Contributions:	1,285.00
Life Insurance Cost:	688.90
Nonstatutory Stock:	.00
Allocated Tips:	394.00
Uncollected Social Security Tips:	1,016.00
Medical Savings:	800.00

Simple Retirement Account:	7,550.00
Qualified Adoption:	.00
Uncollected SS Life Ins:	688.90
Uncollected MC Life Ins:	688.90
Nontaxable combat pay:	117.58
Deferred Comp - 409a:	5,130.27
Income Under 409a:	458.00
Roth Contribution to 401k:	1,228.64
Roth Contribution under 403b:	1,201.28
Third Party FIT Withheld:	9,797.97
State Taxable Wages:	1,043,467.08
State Income Tax:	31,992.88
Local Taxable Wages:	903,749.84
Local Income Tax:	12,712.44
QTD Unemployment Total Wages:	.00
QTD Unemployment Taxable Wages:	.00

REPORT : PXPW209

BANNER University
W-2 2009 EFW2 File

RUN DATE 12-NOV-2009
RUN TIME 02:05 PM

* * * GRAND TOTALS * * *

Number of RW records:	30
Wages, tips, other compensation:	891,509.15
Federal Income Tax Withheld:	245,270.29
Social Security Wages:	393,183.27
Social Security Tax Withheld:	23,699.60
Medicare Wages and Tips:	938,517.33
Medicare Tax Withheld:	13,442.63
Social Security Tips:	508.00
Advance EIC Payments:	939.36
Dependent Care Benefits:	1,840.00
Deferred comp - 401k:	1,996.71
Deferred comp - 403b:	1,201.28
Deferred comp - 408k:	2,900.02
Deferred comp - 457b:	3,505.78
Deferred comp - 501c:	.00
Non-qualified 457:	3,505.78
Non-qualified NOT 457:	29,354.80
HSA Employer Contributions:	2,110.00
Life Insurance Cost:	754.40
Nonstatutory Stock:	.00
Allocated Tips:	394.00
Uncollected Social Security Tips:	1,016.00
Medical Savings:	800.00
Simple Retirement Account:	7,550.00

Qualified Adoption:	.00
Uncollected SS Life Ins:	754.40
Uncollected MC Life Ins:	754.40
Nontaxable combat pay:	117.58
Deferred Comp - 409a:	5,130.27
Income Under 409a:	458.00
Roth Contributions to 401k:	1,996.71
Roth Contributions under 403b:	1,201.28
Third Party FIT Withheld:	9,797.97
State Taxable Wages:	1,084,020.33
State Income Tax:	33,237.85
Local Taxable Wages:	903,749.84
Local Income Tax:	12,712.44
QTD Unemployment Total Wages:	.00
QTD Unemployment Taxable Wages:	.00

REPORT : PXPW209 BANNER University RUN DATE 12-NOV-2009
W-2 2009 EFW2 File RUN TIME 02:05 PM

* * * REPORT CONTROL INFORMATION * * *

Parameter Name	Value	Source	Message
Parameter Seq No:	287519		
Tax Year:	2009	Default	
Tax Quarter:	A	Default	
Resubmit File:	N	Default	
TLCN:		Default	



Process and Generate U.S. W-2s

To produce W-2 files, you must first set up required employer information and create the data for the W-2 forms. You can then create an electronic file containing all required W-2 information for submission to the government. Procedures for accomplishing these tasks are outlined below.

1. Access the Employer Rule Form (PTREMPR) and complete all fields.
 - 1.1. Make sure the **Federal ID** number is correct.
 - 1.2. In the Employer State Information block, create records for all states that you withhold tax for and specify the correct account number for each state. This information is printed in Box 15 of the United States W-2.
2. Access the Media Transmission Rule Form (PXAMTAP) and enter values in all necessary fields.
 - 2.1. Complete all three areas of the form (Transmitter Information, Organization Information, and Employer Information).

In most cases, the **Transmitter Name** and **Address** fields will be the same as the **Organization Name** and **Address** fields.

3. Access the MMREF-1 Electronic Filing Form (PXAMMEF) and enter values in all necessary fields.
 - 3.1. Complete all three areas of the form (Submitter Information, Company Information, and Employer Information).

In most cases, the **Submitter Name** and **Address** fields will be the same as the **Company Name** and **Address** fields.

- 3.2. Complete the **Third Party FIT Withheld** field in the Employer Information area if applicable.

4. Access the Tax Reporting Rule Form (PXAREPT).

4.1. In the Key block, enter *W2*.

4.2. Move to the Box Identification block.

Each record in this area corresponds to a box on the actual W-2 form.

 **Warning**

All data in this block, except for boxes 16 and 17, is supplied by SunGard Higher Education, and must not be modified without consulting SunGard Higher Education. ■

Social Security Tips have to be reported separately from Taxable Social Security Wages in Box 3 on PXAREPT. Accordingly, the following fields have been clarified for your convenience, with regard to Social Security Tips:

Box Code	Field Name	Description
1	Wages, tips, Other Compensation	Includes Social Security Tips, but does not include allocated tips.
3	Social Security Wages	Does <i>not</i> include Social Security Tips or Allocated Tips. (This is handled in the reporting process to subtract any items identified with Box 7 SS Tips.)
4	Social Security Tax Withheld	Includes Social Security Tips
5	Medicare Wages and Tips	Includes Social Security Tips, but <i>not</i> Allocated Tips.
6	Medicare Tax Withheld	Includes Social Security Tips.
7	Social Security Tips	Includes Social Security Tips, but does <i>not</i> include Allocated Tips. (Box 3 + Box 7 cannot exceed the maximum social security wage base for the year.)
8	Allocated Tips	Includes Allocated Tips <i>only</i> .

 **Note**

If Social Security Tips (SS Tips) are relevant to your reporting, the following items should be noted when reconciling the Social Security Wages amount between the W-2 Totals and the Form 941 Detail Report (PXR941). SS Tips have only been broken out on the Form 941 Worksheet within the Detail Report. Therefore, when reconciling the amounts from the W-2 Totals page of the PXRW209 process, compare to

the amounts printed on the Form 941 Worksheet only. The monthly and quarter totals within the Detail Report do not break out the SS Tips from the other Social Security Subject Income. ■

You must set up a Box 16 and a Box 17 for each state for which you deduct state income tax. For each box, enter the box number followed by the two-character state code, as illustrated in the following example.

Box	Description
16NJ	New Jersey state wages
16OH	Ohio state wages
16PA	Pennsylvania state wages
17NJ	New Jersey state tax withheld
17OH	Ohio state tax withheld
17PA	Pennsylvania state tax withheld

For each box record in the Box Identification block, you must list the benefit or deduction codes (from the PTRBDCA **Benefit or Deduction Code** field) and/or the Earn codes (from the PTREARN **Earnings Code** field) associated with the specified box. This selection is made in the Benefit/Deductions block and the Earnings block as described in the following pages.

The following table provides an example for setting up PXAREPT for Tax Administration purposes:

Box Description	Box #	TDUG	Box #	941	Box #	W-2	Box #	1042
Federal Subject Income			1A	All federal treaty deductions FED	1	Federal Treaty Deductions FED		
Federal non-subject Income			1B	N/A				
Federal Tax Withheld	1	All federal treaty deductions FED	1C	FED	2	FED		
Federal Employer Contribution			1D	N/A				

Box Description	Box #	TDUG	Box #	941	Box #	W-2	Box #	1042
SS Subject Wages (excluding tips)			2A	FIO	3	FIO		
SS Subject Tips			2ATP	TSS (Earn Code)	7	TSS (Earn Code)		
SS Non-subject			2B	n/a				
SS Tax Withheld			2C	FIO	4	FIO		
SS Employer Contribution			2D	FIO				
FICA Tax	2	FIM, FIO						
Medicare Subject Income (including tips)			3A	FIM	5	FIM		
Medicare Non-subject Income			3B	n/a				
Medicare Tax Withheld			3C	FIM	6	FIM		
Medicare Employer Contribution			3D	FIM				
Allocated Tips					8	TAL (earn code)		
Federal Unemployment Tax	3	n/a						
Earned Income Credit	4	EIC			9	EIC		
EIC Subject Income			4A	EIC				

Box Description	Box #	TDUG	Box # 941	Box # W-2	Box # 1042		
EIC Non-Subject Income			4B n/a				
EIC to Employee			4C EIC				
EIC Employer Contribution			4D n/a				
State Wages, Tips, etc.			n/a	16	16 ST set up box for each state		
State Income Tax	5	All State treaty deductions All regular states. E.g., PA.	n/a	17	17 ST set up Box for each state	23	All state treaty deductions
State Disability	6	n/a	n/a		n/a		
State Unemployment Tax	7	n/a	n/a		n/a		
City/Local	8	All Local Taxes. E.g., PA	n/a	18/19	All local taxes, e.g., PA		
Other Taxes	9	n/a	n/a	n/a	8	Withholding by other agents	

- 4.3. Choose a box code on PXAREPT and move to the Benefit or Deduction Code block.

The vast majority of W-2 boxes will be specified in the Benefit or Deduction Code block. Very few, if any, will make use of the Earn Codes block.

List the Benefit or Deduction codes that pertain to the box chosen. Often this will be just one code. Also, a box is not usually associated with a benefit or deduction code and an earn code.

Example 1	Box 1	Annual Federal Wages, Tips and Other Compensation	
	FED	Federal Tax	Applicable Gross
Example 2	Box 4	Social Security Tax withheld	
	FIO	FICA—Old age portion	Employee Amount

For each Benefit or Deduction code listed, indicate which of the three deduction amount indicators (Applicable Gross, Employee Amount, or Employer Amount) should be placed in the box. If necessary, you can list more than one.

 **Note**

It is very important not only to list the correct benefit or deduction code(s), but also to specify the right deduction amount indicator(s).

If you are reporting elective deferrals under the Uniformed Services Employment and Re-employment Rights Act of 1994 (USERRA) for a prior year, you must set up box codes in the following format: DXYY where D means Deferred; X is the appropriate Box 12 code e.g. G meaning a §457(b) deferred compensation plan; and YY is the tax year e.g. 07 for tax year 2007. For example, DG07. ■

If the box is to contain earnings, move to the Earnings block and list the relevant Earn codes.

5. Access the Crosswalk Validation Form (GTVSDAX) and enter the address type(s) in the **External Code** field for the Internal Code *W2ADDR*.

For more details on the set up, refer to the topic [“Set Up Address Hierarchy for W-2s, 1099-Rs, or 1042-Ss” on page 45](#) of the release notes.

6. Verify rules on the Installation Rules Form (PTRINST). This rule form allows your enterprise to automatically revoke an employee's W-2 consent when their job is terminated through the electronic approvals process.

Enter the year to display on Employee Self-Service.

7. Access the Employee Form (PEAEMPL) to perform the following actions:
 - 7.1. Remove electronic consent for any employees who may have revoked their consent in writing to the institution.
 - 7.2. Complete the fields in the Social Security Name block in the U.S. Regulatory Information window of the Employee Form (PEAEMPL) if you want to specify a name different from the one appearing on the Identification Form (PPAIDEN) for the W-2 Employee Name on the United States W-2 2009 (PXRW209) and on the files produced by the W-2 2009 EFW2 File (PXPW209).

 **Note**

If a name is not specified in the Social Security Name block of the Employee Form (PEAEMPL), the name that prints on the W-2 will be taken from the Identification Form (PPAIDEN). ■

8. Complete payroll processing for the year.
9. Run the United States W-2 2009 Report (PXRW209). You can generate W-2s for all quarters (i.e. annual), totals only, or a quarterly file.

Any run of PXRW209 requires the following parameters at a minimum:

#	Parameter	What to Enter?
01	Tax Year	(Required) Tax reporting year.
02	Employer Code	(Required) Applicable employer code being reported.
03	Processing Mode	(Required) Select either C—Create, R—Recreate, or T—Totals Only.
04	Tax Quarter	(Required) 1, 2, 3, 4, to identify the quarter being reported, or A for the annual report.
09	Zero Out Negative Amounts	(Required) Y or N depending whether or not you want to replace negative box amounts with zero.
15	Population Selection	(Required) Indicate if W-2s are to be generated for a specific population. Y Yes, use population selection to generate W-2s. N No, do not use population selection.

To generate W-2 totals for a specific quarter, proceed to Step [9.1](#).

To generate annual W-2s and the electronic file, proceed to Step [9.2](#) and Step [10](#) respectively.

 **Warning**

Do not re-run this process in the Create mode *after* the W-2s have been reported to the Social Security Administration as it will *recreate* the W-2 data. Running the process in Create mode will regenerate and repopulates W-2 tables. Therefore, make any corrections to the W-2s on the W-2c Form (PXAW2CC). the W-2 tables. Therefore, make any corrections to the W-2s on the W-2c Form (PXAW2CC). ■

- 9.1. For *Quarterly Reporting* you must specify each of the following parameters in Job Submissions:

#	Parameter	What to Enter?
01	Tax Year	Tax reporting year.
02	Employer Code	Applicable employer code being reported.
03	Processing Mode	Specify either C—Create, or T—Totals Only.
04	Tax Quarter	Enter 1, 2, 3, or 4 to identify the quarter being reported.
05	Specific Employee IDs Ind	Y or N depending on the intended output.
06	Employee IDs	If a Y was entered for the Specific Employee IDs Ind parameter, then enter individual tax IDs.
09	Zero Out Negative Amounts	Y or N depending whether or not you want to replace negative box amounts with zero.
11	Mark as Reissued W-2	Enter Y or N depending on whether you wish to flag all reissued W-2s.
13	Suppress Zero W-2 Messages	Enter Y or N depending on the intended output.
14	Print W-2 with no address	Enter Y or N depending on whether you wish to print W-2s for employees with missing address information.
15	Population Selection	Y or N depending on whether W-2s are to be generated for a specific population.

 **Note**

If the Processing mode selected is *Totals Only* for an individual quarter, the totals printed will include records with errors for ease of reconciling to the 941 report worksheet. ■

- 9.2. If you select *A* (All quarters), PXRW209 will produce printed W-2s as well as data for year-end electronic processing.

In this case, employees with errors will not be processed but included in the totals. PXRW209 can be run multiple times for all quarters. Each time, it will create a hard copy print file (`pxrw209.lis`), create a log file (`pxrw209.log`) which will include any errors, and populate the W-2 database tables which are used to create an electronic file.

 **Warning**

Do not re-run this process in Create mode *after* the W-2s have been reported to the Social Security Administration as it will *recreate* the W-2 data. Running the process in Create mode will regenerate and repopulate the W-2 tables. Therefore run in the Reprint or Reissue mode or make any corrections to the W-2s on the W-2c Form (PXAW2CC). ■

For *Yearly Reporting* (and to generate the printed W-2 Forms) you must specify the following parameters:

#	Parameter	What to Enter?
01	Tax Year	Tax reporting year.
02	Employer Code	Applicable employer code being reported.
03	Processing Mode	Specify any one of the following: C—Create W-2s R—Reprint Original W-2s T—Totals Only - Choose this option to print only totals for the whole year. This option will not print individual W-2s.
04	Tax Quarter	Enter <i>A</i> to report for the full year.
05	Specific Employee IDs Ind	Enter <i>Y</i> or <i>N</i> depending on the intended output.
06	Employee IDs	If a <i>Y</i> was entered for the Specific Employee IDs Ind parameter, then enter individual tax IDs.
07	W-2 Form Type	Format to print W-2s. Enter: <i>1</i> —Standard 1-up <i>2</i> —Laser 4-up, or <i>3</i> —Laser Pressure Sealed
08	Print Sort Order	Order in which to sort the printed W-2. Enter: <i>1</i> —Employee Name <i>2</i> —ZIP Code <i>3</i> —Check Distr Org—Check Distribution Organization or <i>4</i> —U.S./Canada Zip Code
09	Zero Out Negative Amounts	Enter <i>Y</i> or <i>N</i> depending on whether you want to reduce negative box amounts to zero.
10	Print Paper W-2 for all	Enter <i>Y</i> or <i>N</i> depending on whether you want W-2s printed for all employees regardless of their electronic consent.

#	Parameter	What to Enter?
11	Mark as Reissued W-2	Enter <i>Y</i> or <i>N</i> depending on whether you want to indicate to the employee that their W-2 was reissued.
12	Number of Alignment Pages	Enter a number between 0 (zero) and 9 (nine) to specify the number of alignment pages that will precede the actual W-2s.
13	Suppress Zero W-2 Messages	Enter <i>Y</i> or <i>N</i> depending on whether you want error messages printed for W-2s with zero dollars.
14	Print W-2 with no address	Enter <i>Y</i> or <i>N</i> depending on whether you wish to print W-2s for employees with missing address information.
15	Population Selection	Enter <i>Y</i> or <i>N</i> depending on whether W-2s are to be generated and printed for a specific population.

In order to create an employee and an employer copy for laser printed forms, print the output file (`pxrw209.lis`) two times; once for the employee copies and again for the employer copies.

 **Note**

For employer records, Banner does not support the printing of a laser form with four employees per page. ■

10. After running the United States W-2 2009 Report (PXRW209) to generate W-2s for all quarters, create an electronic file for U.S. W-2s, by running the W-2 2009 EFW2 File (XPW209).

This process produces two outputs, a print file (`pxpw209.lis`) and a log file (`pxpw209.log`) which will include any errors. It also places information into a formatted file (W2REPORT) from the data in the PXRMTW2 table.

For more information on the United States W-2 and the 2009 W-2 EFW2 File themselves, see the [“New Process and Report” on page 9](#) of the release notes.

 **Note**

The Comment Form (PPACMNT) is not compatible with EFW2 reporting requirements. ■

Set Up Address Hierarchy for W-2s, 1099-Rs, or 1042-Ss

The method for creating the W-2, 1099-R, or 1042-S mailing addresses based on an address hierarchy is described below. Essentially, this method prioritizes the various address types for each recipient entered on the Identification Form (PPAIDEN) through the use of the Crosswalk Validation Form (GTVSDAX).

Once the hierarchy of address types are prioritized on GTVSDAX, the year-end processes use this information to determine the addresses of recipients.

Example

If on GTVSDAX the *PR* (Permanent) address is given the first priority, a sequence of 1, and the *BU* (Business) address is given second priority, a sequence of 2, then the year-end processes (W-2, 1099-R, or 1042-S - whichever you select) prints (or produces an electronic file) all *PR* addresses on file for recipients. If a *PR* address is not available, then the system uses the *BU* address.

To establish an address hierarchy on the GTVSDAX form do the following:

1. Access the Crosswalk Validation Form (GTVSDAX).
2. Select the Record > Insert menu option.
3. Enter *W2ADDR*, *1042ADDR*, or *1099ADDR* in the **Internal Code** field. Make your choice based on the year-end process for which you want to create the hierarchy.
4. Enter the sequence number of the address type being used for the hierarchy.

For example, if you want the W-2, 1042-S, or 1099-R process to select a *MA* (Mailing) address type as the secondary address, you would enter 2 in the **Internal Sequence** field.

5. Enter *ADDRESS* in the **Internal Group** field.
6. Enter the address type in the **External Code** field, such as PR (Permanent).
7. Enter a description, to identify the type of address entered, in the **Description** field. For example, *W2 Permanent Address*.
8. Save the record.
9. Repeat for all address *types* that are part of the hierarchy used when mailing W-2s, 1099-Rs or 1042-Ss.
10. (Optional) Use the Query feature to display existing address information for specific codes. Enter *W2ADDR*, *1042ADDR*, or *1099ADDR* to query.

Adjust the Laser Print File if W-2s Need Realignment

Follow the instructions below to make adjustments to the laser print file if the W-2s need some alignment. Modifications to the print file should be made by a person who is familiar with the PostScript language.

Note

SunGard Higher Education supports Moore Wallace Laser Printer 4-up forms. Comments made in this section impact these forms. ■

Default Font

The default font chosen for the W-2s is 10 point New Courier, which is a non-proportional typeface. This means that all letters and spaces use the same amount of print space on a horizontal line, regardless of the width of the letter. If a change to the font is required, it can be found at the beginning of the print file. Its form is:

```
/TextFontCN10 /Courier-New findfont 10 scalefont def TextFontCN10 setfont
```

Postscript Printing

In order for a laser printer to recognize a postscript file when running the United States W-2 2009 (PXRW209), the first two characters of the first line must be %!. This automatically occurs.

Postscript alignment may be made on the Crosswalk Validation form (GTVSDAX) for the Internal Group *W2 POSTSCRIPT*. The following code defaults are delivered:

Code	External Code
TOPSTART	12.23 inch
LEFTMARGN	.75 inch
RIGHTMARGN	7.875 inch
LINESPACE	9
Double Space	18
Triple Space	27

Note

For the long form, the TOPSTART value must be 10.2 inch. ■

Adjusting Horizontal Print Positions

The print may vary slightly on printers from different manufacturers. Consequently, if horizontal adjustment is required for the entire form, there is an easy way to make the

adjustment. Increasing or decreasing the left margin will cause all printed data on the form to shift either left or right. Only very slight adjustments should be necessary. The applicable parameter can be found at the beginning of the print file and its form is:

```
/LeftMargin .75 inch def
```

Adjusting Vertical Print Positions

The vertical spacing is somewhat tighter and cannot be accommodated in the same manner as horizontal shifts. A vertical alignment problem will be most noticeable on the lower half of the form. The amount of space between lines is called “leading” and the default values are 9 for single spacing and 18 for double spacing.

If the data is printing over the description of each box on the form, the leading should be increased. If the data is printing over the bottom line of each box, the leading should be decreased. The double space value should always be twice that of the single space value.

When adjusting the leading, increment or decrement only one number at a time. For example, increment single and double spacing from 9 and 18 to 10 and 20. Moving up or down by one number should be the maximum adjustment necessary for the supported Moore forms. These parameters can be found at the beginning of the print file and their form is:

```
/LineSpace 9 def
```

```
/DoubleSpace 18 def
```

If all printed data must be shifted up or down, adjusting the top margin is the best method. The default value can be found in the /TopStart command. If an adjustment is required, it should be very slight. The parameter can be found at the beginning of the print file. Its form is:

```
/TopStart 10.125inch def (Laser 4-up)
```

```
/TopStart 12.325inch def (Laser - Pressure Sealed)
```

Banner Support for U.S. Tax Form Vendors

The software has been written so that the placement of each of the characters fits accurately in the lines and check boxes found on the forms supplied by Moore Wallace. SunGard Higher Education has selected Moore Wallace as a recognized and recommended business partner.

If your site elects to use a form vendor other than Moore Wallace, the placement of the characters may vary since the form may be different. The existence of this restriction does not imply that you must use Moore forms. You may use any vendor that you choose. However, this may require modifications at your site to obtain the proper alignment.

Other forms vendors will probably require a sample output that can be obtained from running the tax reports PXR1042, PXR1099, and PXRW209. The sample output appears at the beginning of the file and is generated when the tax data exists and the rule forms have been set up correctly in Banner. Three alignment forms appear at the beginning of each file generated when running the reports.

 **Note**

The U.S. Government allows variations in the forms as long as the form is approved by the IRS. Forms supplied by Moore-Wallace are federally approved. ■

For tax processing, the following Moore-Wallace form numbers are supported by Banner:

1042S

Form Name	
Moore Wallace #1042S	1042S 5 Pt. Carbonless Continuos

1099R

Form Name	
Moore Wallace #9923862	1099R 6 Pt. Carbonless 2/page Continuos
Moore Wallace #MW253	1099R 5 Pt. Mag Media Undated Mailer

W-2

Form Name	
Moore Wallace #MW275	W2 4 Corner Employee Copy (Laser)
Moore Wallace #MW276	W2 4 Corner Employer Copy (Laser)
Moore Wallace #MW256	W2 5 Pt. Mag Media Mailer
Moore Wallace #2122862	W2 4 Pt. Carbonless One Wide
Moore Wallace #2175862	W2 6 Pt. Carbonless 2/page
Moore Wallace #TT3B	W2 3 Pt. Employee Set 2/page
Moore Wallace #TT3A	W2 3 Pt. Employer Set 2/page
Moore Wallace #MW1280Z	W2 1 Pt. Pressure Seal (Laser)

Create W-2 Corrections on the W-2c Form

U.S. W-2 Processing also includes the ability to correct erroneous information that was previously filed for employees on their U.S. W-2s. Corrections to U.S. W-2s can be created in Banner on the W-2c Form (PXAW2CC), and delivered to the employee electronically through Employee Self-Service. For a detailed description of this form, refer to Chapter 16, “Time Entry & Payroll Processing” of the *Banner Human Resources User Guide*.

To create a W-2c for an employee:

1. Review, correct and process any adjustments to information that was previously reported on a W-2 or W-2c such as the:
 - Employee’s Biographic/Demographic information on the Identification Form (PPAIDEN), or the Employee Form (PEAEMPL),
 - Employee’s payroll information on the Payroll Adjustment Form (PHAADJT), and/or
 - Previously reported W-2 box code information on the Tax Reporting Rules Form (PXAREPT).
2. Now, access the W-2c Form (PXAW2CC) for the greatest sequence. Use the Options menu to create a new correction and review the new, corrected information and the previously reported information.
3. Update the **Status** in the Employee window of the W-2c form to *Completed* in order to release an electronic copy of the form to the employee.
4. Save the updated information.
5. Select the *Display W2/W2c* option from the Options menu to view and print a completed W-2 or W-2c.

Note

Define a Web Output URL in the Directory Options tab of the General User Preferences Maintenance Form (GUAUPRF) if your institution utilizes the Show Document feature. ■



3 2009 U.S. W-2 and EFW2 File Enhancements - Technical



This section lists the technical updates made for the 2009 U.S. W-2 enhancements.

New Packages

The following packages have been created to generate the 2009 W-2 tax document.

pxk09t1.sql

This script is the package specification that creates the 2009 U.S. W-2 documents.

pxk09ts.sql

This script is the package body that creates the 2009 U.S. W-2 documents.



New Business Process Integration (BPI)

The following BPI has been created for 2009 U.S. W-2s.

BPI Object Name	BPI Entity Name	Associated BPI Package	Associated BPI Scripts	Associated API Packages	Associated Table	Affected Objects			
PP_W2_2009	W2_2009	pp_w2_2009	pxkp_w2_20090.sql	pb_w2_state	PXRW2ST	bwpkx091.sql			
						pxkp_w2_20091.sql	pb_w2_state_rules		pxk09t1.sql
							pb_w2_state_strings		pxkp_w2_20090.sql
									pxkp_w2_20091.sql
									pxpw209.pc
									pxrw209.pc
								PXRW2LC	bwpkx091.sql
									pxk09t1.sql
									pxkp_w2_20090.sql
									pxkp_w2_20091.sql
									pxpw209.pc
						pxrw209.pc			
					PXRW2FD	bwpkx091.sql			
						pxk09t1.sql			
						pxkp_w2_20090.sql			
						pxkp_w2_20091.sql			
						pxpw209.pc			
						pxrw209.pc			

Changed Business Process Integration (BPI)

The following BPI has been modified for 2009 U.S. W-2s.

BPI Object Name	BPI Entity Name	Associated BPI Package	Associated BPI Scripts	Associated API Packages	Associated Table	Affected Objects
PP_W2_COMMON	W2_COMMON	pp_w2_common	pxkp_w2_common0.sql pxkp_w2_common1.sql	pb_w2_federal pb_w2_federal_rules pb_w2_federal_strings	PXRW2FD	pxaw2cc.fmb pxkb_w2_coded_info_r1.sql pxkb_w2_local_r1.sql pxkp_w2_20060.sql pxkp_w2_20061.sql pxkp_w2_20071.sql pxkp_w2_20081.sql pxkp_w2_20091.sql pxkp_w21.sql pxpw206.pc pxpw207.pc pxpw208.pc pxpw209.pc pxrw206.pc pxrw207.pc pxrw208.pc pxrw209.pc pxrw2us.pc

4 2009 1042-S Enhancements - Functional



This section describes regulatory changes made to Banner functionality for filing 1042-S forms.

To file 1042-Ss, Banner Human Resources has the following form, report, and process:

- PXAREPT
- PXR1042
- PXPMT42



Changed Report and Process

This section describes regulatory changes made to Banner functionality for filing 1042-S forms.

To file 1042-Ss, Banner Human Resources has the following report and process:

- Foreign Person 1042-S Form (PXR1042) and
- 1042-S Media Transmission (XPMT42)

Foreign Person 1042-S Form (PXR1042)

Description Generates Form 1042-S (Foreign Person's U.S. Source Income Subject to Withholding). The XPMT42 process has had minor modifications to remain in compliance with IRS file specifications.



Tip

If running on a Dot Matrix printer, you must set the Character Pitch to 12 and Line Spacing to 6 lines per inch.

Parameters	Name	Description/Values	Required?	Default	Validation
01	Tax Year	Tax year	Yes	None	Format must be YYYY or YY
02	Employer Code	Employer code	Yes	None	PTREMPR
03	Specific Employee IDs Indicator	Identify whether or not you want to process this report for only specific individuals. Y Process the 1042S for a person whose ID is entered in the next parameter. N Do not process the 1042S for specific employee IDs.	Yes	N	None

Parameters	Name	Description/Values	Required?	Default	Validation
04	Employee ID	If processing the 1042S for specific employees, then enter the employee(s') IDs in this parameter.	No	None	None
05	Zero Out Negative Amounts Indicator	Y Zero out all negative amounts. N Do not zero out negative amounts.	Yes	N	None

Sort Order

Not applicable

Data Source

PEAEMPL PHR1042 PTREMPR PTRERST PXRFFSTA PXRMTER PXVRTOT

Frequency

Annually on demand

Report Sample

Preprinted form

Fields

Government-defined.

The following table shows where information is collected for name and address.

Banner Form	Field Name	Used in PXR1042 regulatory process
PPAIDEN	SUBSTR (spriden_first_name ' ' spriden_mi DECODE (spriden_mi,NULL,NULL,' ') spriden_last_name,1,30)	Box 13a Recipient's name
PPAIDEN	spraddr_street_line1	Box 13c Address (number and street)
PPAIDEN	spraddr_street_line2	Box 13d Additional address line (room or suite no.)

Report Sample—Foreign Person 1042-S Form (PXR1042)

REPORT : PXR1042	BANNER University Foreign Person 1042S Form	RUN DATE 11-NOV-2009 RUN TIME 11:50 AM
* * * 1042-S TOTALS * * *		
Employees selected		9
Employees in error		1
1042-S Forms printed		11
Employees written to magnetic media file		8
Box 2: Gross Income Paid		74,796.17
Box 3: Withholding Allowances		.00
Box 4: Net Income		74,796.17
Box 7: U.S. Federal Tax Withheld		16,800.13
Box 8: Withholding by other agents		188.87
Box 10: Amount Repaid to Recipient		252.50
Box 23: State Tax Withheld		16,952.64

REPORT : PXR1042

BANNER University
Foreign Person 1042S Form

RUN DATE 11-NOV-2009
RUN TIME 11:50 AM

* * * REPORT CONTROL INFORMATION * * *

Errors exist; check the log file.

Parameter Name	Value	Source	Message
Parameter Seq No:	287340		
Tax Year:	2009	Default	
Employer Code:	REG	Default	
Specific IDs Ind:	N	Default	
Zero Out Neg Amt:	Y	Default	

1042-S Media Transmission (PXPMT42)



Tip

Run this process following PXR1042.

This process provides for the electronic filing and transmission of data for Form 1042-S (Foreign Person's U.S. Source Income Subject to Withholding).

For 2009, the PXPMT42 process has been modified as follows:

- The *Q* Record has been modified to report the correct exemption code associated with appropriate tax rates. Refer to the following publication on the IRS web site for a detailed list of changes:
 - Rev. Proc. 2009-35 published within IR Bulletin 2009-35, dated August 31, 2009.
- The PXPMT42 process has been modified to remove special characters in the audit trail that prohibit editing of the program in UNIX. This resolves defect 1-6FQGWO.

Parameters	Name	Description/Values	Required?	Default	Validation
01	Year	Tax year	Yes	None	Format must be YYYY or YY
02	Prior Year Data Indicator	Indicate if reporting prior year data. Y Prior Year data included N Current year data	Yes	None	None
03	Is this run for test purposes?	The value determines whether or not this is a test run Y This file is for test purposes. N This file is not a test file.	Yes	N	None

Sort Order

Not applicable

Data Source

Payroll forms and tables

Frequency

Annually on demand following PXR1042

Report Format

Standard horizontal report format for totals and control information pages. Primary output is electronic media.

Fields

Government-defined

The following table shows where information is collected for name and address.

Banner Form	Field Name	Used in PXPMT42 regulatory process
PPAIDEN	SUBSTR(spriden_first_name DECODE(spriden_mi,NULL,' ',' ' spriden_mi ' ')) spriden_last_name,1,40)	"Q" 94-133, Recipient's name Line-1
PPAIDEN	SUBSTR(spriden_first_name DECODE(spriden_mi,NULL,' ',' ' spriden_mi ' ')) spriden_last_name,41,40), NULL	"Q" 134-173, Recipient's name Line-2 Q" 174-213, Recipient's name Line-3
PPAIDEN	SUBSTR(spraddr_street_line1 ' ' spraddr_street_line2,1,40)	"Q" 314-253, Recipient's Street Line-1
PPAIDEN	SUBSTR(spraddr_street_line1 ' ' spraddr_street_line2,41,40)	"Q" 254-293, Recipient's Street Line-2

Report Sample—1042-S Media Transmission (PXPMT42)

REPORT : PXPMT42	BANNER University 1042-S Media Transmission	RUN DATE 11-NOV-2009 RUN TIME 12:42 PM
* * * EMPLOYER TOTALS * * *		
Employer Code:		REG
Number of Employees:		8
Gross Income Paid:	74,796.00	
Withholding Allowances:		.00
Net Income:	74,796.00	
Federal Income Tax Withheld:	16,800.00	
Withholding by other agents:		189.00
State Tax Withheld:	16,953.00	

REPORT : PXPMT42	BANNER University 1042-S Media Transmission	RUN DATE 11-NOV-2009 RUN TIME 12:42 PM	
* * * REPORT CONTROL INFORMATION * * *			
Parameter Name	Value	Source	Message
Parameter Seq No:	287356		
Tax Year:	2009	Default	
Prior Year Ind:	N	Default	
Test Indicator:	Y	Default	



Process and Generate 1042-Ss

This section describes how to generate 1042-S forms and create electronic media using the Banner report and process.

When United States residents and non-resident aliens receive income from U.S. sources, it is subject to U.S. taxation unless it is explicitly exempted by United States code or tax treaty agreements. The United States currently has tax treaty agreements with about forty nations. These treaties typically provide U.S. non-citizens with reduced tax rates or exemption from income taxes on certain types and levels of income received from U.S. sources. For citizens of countries with which there is no tax treaty, the U.S. tax code includes statutory requirements governing different income types.

Warning

The statutory regulations (for citizens of countries with which there is no tax treaty) and the tax treaty regulations are very complex and are subject to site interpretation. Before determining the tax liability of non-citizen employees, give careful study to all applicable tax laws. ■

Compensation payments which are exempt from taxation under a tax treaty and non-compensation payments made to a non-resident alien must be reported on Form 1042-S, Foreign Person's U.S. Source Income Subject to Withholding. In addition, nonresident alien employees may be eligible to receive the standard Wage and Tax Statement (Form W-2) if their earnings are subject to FICA and FICA Medicare taxes or use a graduated tax table.

The Banner Human Resources System supports 1042-S reporting requirements with the following batch report and process:

- The Foreign Person 1042-S Form (PXR1042) extracts relevant data, prints Form 1042-S, and inserts the data into the database tables used in the generation of the electronic media.
- The 1042-S Media Transmission Process (PXPMT42) reads the database table and formats the data for electronic transmission and creates a 1042TAX file.

Refer to *Chapter 13, "Reports and Processes"*, of the *Banner Human Resources User Guide* for additional information on PXR1042 and PXPMT42 processes.

The following forms and modules capture data for 1042-S processing and reporting:

- Tax Administration
- Benefits Administration
- Employment and Compensation (optional)
- Payroll
- Specified rule and validation forms

To set up 1042-S data, follow the steps listed below.

Instructions

1. Access the Media Transmission Rule Form (PXAMTAP) and enter values in all necessary fields.

Complete all three areas of the form (Transmitter Information, Organization Information, and 1042-S Contact Information).

In most cases, the **Transmitter Name** and **Address** fields will be the same as the **Organization Name** and **Address** fields.

Note

Continue to use the PXAMTAP form to capture the above information, although beginning from 2009, 1042-S data can no longer be filed using magnetic media. ■

2. (Optional) Access the Earn Code Rule Form (PTREARN).

- 2.1. Specify a non-cash earn code to account for the 1042-S field, Box 8, Withholding by other agents.

For example, OWH - Federal withholding by other agents.

3. Access the Employee Class Rule Form (PTRECLS) to add the non-cash earn code created in Step [2](#), if applicable.

4. Access the Tax Code Rule Form (PXATXCD).

- 4.1. Enter your password to change information on this form.

- 4.2. Follow the steps outlined for PXATXCD in the online help of Banner Human Resources.

- 4.3. Define the *1042-S tax codes* applicable to your institution.

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 below).

You must use the following naming conventions when you establish your 1042-S tax codes.

In this position ...	use this convention ...	for this designation
1 and 2	FD	All federal treaties
	<XY>	Specific states that honor federal treaties. For example, PA for Pennsylvania, NY 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
5 (Applicable to income code 15 only)	L	Living Expenses
	Q	Qualified Expenses
	N	Subtype not applicable

- 4.4. Two state tax deduction types may be utilized for recording and reporting state taxes and treaty limits when federal treaties are honored. The following design is suggested for creating the state tax related PXATXCD records:

In this position ...	use this convention ...	for this designation
1 and 2	XX	All, where XX represents the state abbreviation. E.g. PA - Pennsylvania or NY - New York.
3 and 4	15	Scholarship/Fellowship Grants

In this position ...	use this convention ...	for this designation
	16	Independent Personal Services
	17	Dependent Personal Services
	18	Teaching
	19	Compensation During Training
	20	Earnings as an Artist or Athlete
5 (Applicable to Income code 15 only)	L	Living Expenses
	Q	Qualified Expenses
	N	Subtype not applicable

5. Access the Tax Filing Status Form (PXAFSTA).

- 5.1.** At **Tax Code**, enter a 1042-S tax code. The system displays the description defined for this code.

 **Note**

You must complete this form for each 1042-S tax code established on PXATXCD in Step [4.3](#). ■

- 5.2.** At **Filing Status**, enter the country codes applicable to your site.

A country code is a two-character code defined by the U.S. government. It identifies an employee's country for purposes of determining tax treaty benefits. The rate of tax withheld is determined by this code. The country code you enter at this prompt is used to set up tax exemptions and calculations on the Tax Setup Form (PXATAXS).

Country codes have been established by the government for use in 1042-S reporting. *You must enter the codes applicable to your employees in **Filing Status**.*

- 5.3. For **Minimum Year-To-Date Gross**, enter the gross income amount an employee can earn during the year without being taxed.

 **Warning**

The value you enter in this field must comply with statutory and tax treaty regulations. To obtain the most recent requirements for the countries represented at your site, contact the Internal Revenue Service. ■

Once an employee's year-to-date applicable gross (YTD plus applicable gross of payroll being processed) exceeds the amount entered at this prompt for his or her country code, any part of the current payroll's applicable gross that exceeds the amount entered in this field will be taxed according to the tax rules established on PXATAXS.

Example

A nonresident alien employee has an applicable federal gross income of \$2,000 per pay. He is a citizen of Austria, and the minimum applicable YTD gross for Austria has been defined on PXAFSTA as \$3,000. The employee is taxed on half of his second paycheck and all of his third.

Payroll Number	YTD Appl. Gross	Current Appl. Gross	Current Gross Taxed
1	\$0.00	\$2,000.00	\$0.00
2	\$2,000.00	\$2,000.00	\$1,000.00
3	\$4,000.00	\$2,000.00	\$2,000.00

6. Access the Tax Setup Form (PXATAXS) and enter the appropriate tax rate for every combination of tax code (defined on PXATXCD) and country code (defined on PXAFSTA).

 **Warning**

The values you enter on PXATAXS must comply with statutory and tax treaty regulations. To obtain the most recent requirements for the countries represented at your site, contact the Internal Revenue Service. ■

Tax regulations may require that earnings be taxed based on any of the following:

- a fixed percentage (taking into account possible exemptions which, for most countries, total one). Note that a country code of *OC* (Country Unknown) requires a fixed rate of 30%.
- a special treaty rate
- the graduated tax tables that apply to U.S. citizens

These regulations determine which fields to complete and what values to enter on PXATAXS for a given tax code/country code combination. For detailed instructions on the use of PXATAXS, refer to the topic, “*Setup for Tax Exemptions and*

Calculation” in Chapter 8, “*Tax Administration and Regulatory Reporting*” of the *Banner Human Resources User Guide*.

A few supplementary instructions for using PXATAXS during 1042-S setup are listed below.

- To establish a straight percentage without regard to personal exemptions, complete only the Main window of this form. Insert the appropriate rate of **Percentage**.
 - To establish a percentage while acknowledging personal exemptions, complete the Main window of PXATAXS. Enter the percentage rate at **Tax Percentage**, the number 2 at **Option Code**, *Multiply* at **Multiply or Add**, and the appropriate exemption amount at **Amount**.
 - Beginning in 2006, to establish the additional wage amount, mandated by the IRS when calculating tax for income codes using graduated tax tables, renumber any existing entries to allow the use of Sequence Number 1. Enter the number 1 at **Sequence Number**, the number 3 at **Option Code**, *Multiply* at **Multiply or Add**, and the appropriate additional wage amount at **Amount**. For additional information, see FAQ 1-5CB65.
 - To apply the graduated tax tables without regard to personal exemptions, leave the Tax Exemption block (that is, the block below the Key block) blank and go to the Graduated Tax Table window. Enter the appropriate graduated tax table. SunGard Higher Education's interpretation of the tax code suggests that the graduated table used for the Single filing status for federal withholding tax (tax code *FD*) must be repeated in this area.
 - To apply the graduated tax tables while acknowledging personal exemptions, enter 2 at **Option Code**, *Multiply* at **Multiply or Add**, and the appropriate exemption amount at **Amount**. Then go to the Graduated Tax Table window and enter the appropriate graduated tax table. SunGard Higher Education's interpretation of the tax code suggests that the graduated table used for the Single filing status for federal withholding tax (tax code *FD*) must be repeated in this area.
7. Access the Crosswalk Validation Form (GTVSDAX) and enter the Address Type(s) in the External Code for Internal Code *1042ADDR*.

For more information, refer to the topic, [“Set Up Address Hierarchy for W-2s, 1099-Rs, or 1042-Ss” on page 45](#) of the release notes.

8. Set up Citizenship codes for Resident Alien (RA) and Non-resident Alien (NRA) on the Citizenship Type Code Validation Form (STVCITZ).
9. Create or verify 1042-S country codes on the Nation/Country Cross-Reference Rules form (PTRNATN).

10. Access the Benefit/Deduction Type Validation Form (PTVBDTY).

10.1. At **Type Code**, enter *20* to establish a new benefit or deduction type code.

10.2. At **Description**, enter *Foreign Persons Tax - 1042S reportable*.

Similarly, create the following benefit or deduction types:

21 - State Tax-1042S Reportable and

22 - State Treaty Exempted

11. Access the Benefits and Deductions Rule Form (PTRBDCA).

11.1. Define a deduction code for each income type your site expects to use. The deduction definition should match the definition of the Federal Withholding Tax deduction code with the exception of the following fields:

PTRBDCA Field	Federal Withholding	Tax Treaty
Short [Description]	Fed Tax	FD Schlr (<i>example for Income Type 15</i>)
Long [Description]	Federal Withholding Tax	Fed Tax Scholarship/ Fellowship (<i>example for Income Type 15</i>)
Deduction Type	01	20
Tax Code	FD	FD15, 16, 17, 18, 19 and/or 20
<i>(on the Definition of Options and Amounts window)</i>		
Title [of Option Code] 1	Filing Status	Country Code
Title [of Option Code] 2	# Exemptions	# Exemptions
Title [of Option Code] 3	0 or 1	Additional Gross
Title [of Amount Code] 1	Additional Withholding	Additional Withholding

11.2. Examine the remaining windows of the Benefits and Deductions Rule Form (PTRBDCA) to complete the calculation rules for these deduction codes. Pay particular attention to the following windows:

- Precluded Benefits/Deductions
- Included Benefits/Deductions

- Benefit/Deduction Labor Distribution Overrides
- Excluded Deductions and Excluded Earnings

Note: Specify the non-cash earn code created on PTREARN in this window.

In most cases, the rules established for the Standard Federal Withholding tax can be duplicated for the Foreign Persons Federal Withholding tax.

 **Note**

Refer to the online help of Banner Human Resources for detailed field descriptions. ■

- 11.3. Create new Treaty State Tax deduction records utilizing the new State Tax codes created on PXAFSTA. These will be similar to the State Tax deduction type of 04.
 - Set up the Benefit/Deduction type 21 first with priority lower than that set for Type 22.
 - Set up the Benefit/Deduction Type 22 with a higher priority than Type 21.
 - Associate Deduction Type 22 to Deduction Type 21. Deduction Type 22 should have no associations.

12. Access the Benefit Category Rules Form (PTRBCAT) and add the newly defined deduction codes to the appropriate benefit categories (that is, the benefit categories to which your 1042-S employees are assigned) on PTRBCAT.

13. Access the Employee Benefit or Deduction Form (PDAEDN).
 - 13.1. Assign the newly defined deduction codes as appropriate. Keep in mind the following points:
 - Assign the appropriate deduction code for *each* income type included in the tax treaty with the employee's country.
 - Complete **Option Code 1** with the appropriate country code (as established on PXAFSTA).
 - **Option Code 2** can reflect the number of exemptions claimed.
 - Enter **Option Code 3** to include additional wages for tax calculation. For more information, see FAQ 1-5CB65.
 - To avoid payroll processing errors, employees who are subject to non-resident alien tax rules should have a status of *E(xempt)* for the Federal Withholding Tax deduction. (This is not necessary if the employee's benefit category does not include federal withholding tax in its PTRBCAT definition.) At payroll run, the system will acknowledge that the employee has the federal tax deduction (even though it is exempted) and will continue to process the employee through the payroll cycle.

14. Access the U.S. Regulatory Information window of the Employee Form (PEAEMPL).

14.1. At **1042S Recipient** in the U.S. Regulatory Information window, enter a 1042 recipient code for each employee who must receive a 1042-S for the current calendar year. Valid values are listed below.

Code	Recipient
01	<i>Individual</i>
02	<i>Corporation</i>
03	<i>Partnership</i>
04	<i>Fiduciary</i>
05	<i>Nominee</i>
06	<i>Government or international organization</i>
07	<i>Tax-exempt organization</i>
08	<i>Private foundation</i>
09	<i>Artist or athlete</i>
19	<i>Other</i>
20	<i>Type of recipient unknown</i>

 **Note**

Take special precautions to update the **1042S Recipient** based on the 1042-S reporting year.

For example, if an employee was eligible for 1042-S processing for the first but not the second half of the current calendar year, the **1042S Recipient** must be populated until the 1042-S statement for that calendar year has been produced. After you print the 1042-S report and generate the 1042-S Media Transmission, you should delete the value of the **1042S Recipient** from that employee's record. ■

15. If an employee has more than one job, and one job is subject to the tax treaty rule and the other is subject to the standard federal withholding tax, do the following:

- On PDAEDN, set up both the federal tax deduction and the appropriate deduction code(s) for the income and country codes applicable to this employee.
- In the Excluded Benefits/Deductions window of the Employee Jobs Form (NBAJOBS), exclude the Federal Withholding Deduction code from the job to be taxed only under nonresident alien tax rules. Standard federal tax will not be withheld from this job's earnings during the payroll process.
- For jobs to be taxed according to the standard federal graduated tax tables, enter the nonresident alien tax code(s) in the Excluded Deductions area of the Employee Jobs Form (NBAJOBS).

16. On the Employer Rules Form (PTREMPR), verify all states being used for payroll taxes have been identified in the Employer State Information block.

17. Run your payroll.

The Payroll Calculation Process (PHPCALC) processes tax treaty deduction information in the 1042 database table, where it remains available for subsequent payrolls.

To review payroll procedures, see Chapter 6, “Payroll Processes” of the *Banner Human Resources User Guide*.

18. Access the Tax Report Setup Rule Form (PXAREPT).

 **Warning**

This form is delivered to you with box identifications as established by SunGard Higher Education for your Banner Human Resources payroll module. Do not revise them unless you are advised to do so by SunGard Higher Education. ■

18.1. Associate 1042-S boxes by number with appropriate deductions and/or earnings.

For 2009, set up the new Box 8 to report the non-cash earn code.

Refer to the online help of Banner Human Resources for field-by-field instructions on using PXAREPT.

The following items should be reviewed for reporting State Treaty Benefit or Deduction Types 21 and 22.

Tax Report Code	Box #	Box Name
1042	23	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

19. Create payroll adjustments for those employee that need withholding by other agents reported (Box 8).

20. Run the Banner report, Foreign Person 1042-S Form (PXR1042), to produce 1042-S forms.

 **Note**

Before running the PXR1042 print process on a Dot Matrix printer, you must set the Character Pitch to 12. The IRS reduced the size of the boxes in the 2008 form layout. This requires a 12 pitch font to prevent overflow of information in the boxes. ■

Verify the results before proceeding to the next step.

Use the following parameters.

Parameter	What to Enter?
Tax Year	The tax reporting year.
Employer Code	The applicable employer code being reported.
Specific Employee IDs Ind	<i>Y</i> or <i>N</i> depending on the intended output.
Employee IDs	If a <i>Y</i> was entered for the Specific Employee IDs Ind parameter, then enter the individual tax IDs.
Zero Out Negative Amounts	<i>Y</i> or <i>N</i> depending whether or not you want to reduce negative box amounts to zero.

21. Finally, run the 1042-S Media Transmission (PXPMT42) from Job Submissions specifying the following report parameters.

Parameter	What to Enter?
Tax Year	The tax reporting year. Required field.
Prior Year Data Indicator	Yes, if prior data is being included. Optional field.
Is this run for TEST purposes?	Enter <i>Y</i> to label this run as a test run. This report then runs and populates positions 133-136 with the word TEST. Enter <i>N</i> if this run is the actual run. Required.



5 2009 1099-R Enhancements - Functional



This section describes regulatory changes made to Banner functionality for filing 1099-R forms.

To file 1099-Rs, Banner Human Resources uses the following forms and reports:

- 1099-R Distribution Code Validation Form (PTV1099)
- 1099-R Print Report (PXR1099)
- 1099-R Load Process (PXP1099)
- 1099-R Form (PXA1099)

Changed Form

1099-R Distribution Code Validation Form (PTV1099)

A new 1099 code, *U, Dividend distribution from ESOP under sec. 404(k)*, has been added to the validation form. Accordingly, a seed script has been provided to update the form with this new data.

The existing code, *E*, has been modified to change the code description.

For more details refer to the section, [“2009 1099-R Enhancements - Technical” on page 93](#).



Changed Report

1099-R Print Report (PXR1099)

PXR1099 generates 1099-R report and magnetic media data. Run this report following 1099-R Load Process (PXP1099). For 2009, the following changes have been made to the Banner process, PXR1099.

- Form 1099-R renamed distribution code E to Distributions under Employee Plans Compliance System (EPCRS), formerly Excess Annual Additions under Section 415/Certain Excess Amounts Under Section 403(b) Plans.
- A new 1099 code, *U, Dividend distribution from ESOP under sec. 404(k)*, has been added.

Parameters	Name	Description/Values	Required?	Default	Validation
01	Tax Year	Tax year	Yes	None	Format must be YYYY or YY
02	Combined Federal/State Filer	Y Data on these forms is forwarded to participating states by the IRS/MCC.	Yes	Y	None
		N Data on these forms is not forwarded to the states.			
03	Create the 1099-R Report	Y Print the 1099-R Report.	Yes	Y	None
		N Do not print the 1099-R Report.			
04	Create the Tape File	Y Create a tape file for your 1099-Rs.	Yes	Y	None
		N Do not create a tape file.			
05	Transmittal for a Prior Year	Y Indicates on the 1099 tape Transmitter "T" record if this data is from a prior year.	Yes	N	None
		N This transmittal is for the current year.			

Parameters (co	Name	Description/Values	Required?	Default	Validation
06	File Type	Identifies the type of 1099-Rs being filed: 1 Original 2 Test 3 Corrected 4 Replacement	Yes	1	None
07	Replacement Alpha Characters	Populates the Replacement Alpha Character on the Transmitter "T" Record on the tape file. Use when File Type is 4, otherwise leave blank. Enter the two-character value which appears immediately following the TCC number on the Media Tracking Slip (Form 9267)	No	None	None

Parameters (co	Name	Description/Values	Required?	Default	Validation
08	Electronic File Name	Populates the Electronic File Name on the Transmitter “T” Record. Use when the File Type is 4, otherwise leave blank. Enter the original or correction filename that was assigned by the IRP-BBS. Do not enter the replacement filename.	No	None	None
09	Sort Order	Indicate the sort order for 1099-Rs. Choices include: 1 By Employee Name The report sorts by Employer Code, Last Name, First Name, and Middle Name. 2 By Zip Code The report sorts by Employer Code, Zip Code, Last Name, First Name, and Middle Name.	Yes	None	None

Sort Order

Not applicable

Data Source

PPAIDEN PTREMPR PTV1099 PXA1099 PXAMTAP

Frequency

On demand following PXP1099

Report Format

Preprinted form, and a tape file (1099R.dat).

Fields	Name	Description
	PAYER's name, street address, city, state, and ZIP code	Name and address of distribution payer.
	PAYER's Federal identification number	Federal Identification number of distribution payer.
	RECIPIENT'S Identification number	Identification number of distribution recipient.
	RECIPIENT'S name	Name of distribution recipient. The following list shows where information is collected for name and address.
	Street address (including apt. no)	Street address of distribution recipient
	City, state, and ZIP code	City, state, and ZIP code of distribution recipient.
	1st year of desig. Roth contrib.	Enter the first year that the employee made a contribution to their Roth account.
	Account number (optional)	Distribution account number.
	Box 1	Gross distribution The total amount of the distribution before income tax or other deductions were withheld.
	Box 2a	Taxable Amount The amount of the distribution that can be counted as income for tax purposes. This field does not include excludable or tax-deferred amounts reportable in Boxes 5, 6, and 8.

Fields	Name	Description
	Box 2b	<p>Taxable amount not determined</p> <p>If the taxable amount of the payment cannot be computed, an <i>X</i> appears in this box.</p> <p>Total distribution</p> <p>If the payment shown in Box 1 is a total distribution, an <i>X</i> appears in this box. A total distribution is one or more distributions within a single tax year in which the entire balance of the account is distributed.</p>
	Box 3	<p>Amount in Box 2a eligible for capital gain election</p> <p>If this is a lump-sum distribution, this field contains the amount in Box 2a eligible for the capital gain election under section 1122(h)(3) of the Tax Reform Act of 1986.</p>
	Box 4	<p>Federal income tax withheld</p> <p>Federal income tax withheld from this distribution.</p>
	Box 5	<p>Employee Contributions/Designated Roth Contributions or Insurance Premiums</p> <p>Total of employee insurance premiums or contributions to a profit-sharing or retirement plan.</p>
	not numbered box	<p>1st Year Designated Roth Contribution</p> <p>Date on which the first contribution was made to the employee's Roth account.</p> <p>Note: The date format differs based on the print media. That is, on the Banner 1099-A Form (PXA1099), this date is displayed in the DD-MMM-YYYY format whereas on the actual 1099-R form, only the year is printed, and on the media transmission file (1099RDSK.dat), this date is specified in the YYYYMMDD format.</p>
	Box 6	<p>Net unrealized appreciation in employer's securities</p> <p>This field is used if the distribution includes securities of the employer corporation and you can compute the net unrealized appreciation (NUA) in the employer's securities. If this is a lump-sum distribution, it shows all the NUA. If it is not a lump-sum distribution, it shows only the NUA in employer securities attributable to employee contributions.</p>

Fields	Name	Description
	Box 7	<p>Distribution code</p> <p>This field displays an allowed combination of the following distribution types:</p> <ol style="list-style-type: none"> 1 Early (premature) distribution, no known exception 2 Early (premature) distribution, exception applies (as defined in section 72(q), (t), or (v)) 3 Disability 4 Death 5 Prohibited transaction 6 Section 1035 exchange. This code indicates the tax-free exchange of insurance contracts under section 1035. 7 Normal distribution
	IRA/SEP/SIMPLE	If this distribution is from an IRA (Individual Retirement Account), SEP (Simplified Employee Pension), or SIMPLE (Savings Incentive Match Plan for Employees), an <i>X</i> appears in this box.
	Box 8	<p>Other</p> <p>Current actuarial value of an annuity contract that is a part of a lump-sum distribution.</p>
	Box 9	<p>Your percentage of total distribution</p> <p>Percentage of this distribution received by the person whose name appears on the 1099-R report. This field is used when a total distribution is made to more than one person.</p> <p>Note: Banner does not populate this field. You must enter this value via the 1099-R Form (PXA1099). For detailed information, refer to the section on PXA1099 in the Chapter 8, "Tax Administration and Regulatory Reporting".</p>

Fields	Name	Description
	Box 9b	Total employee contributions Total employee contributions remaining to be recovered tax free from a distribution that is payable in the form of a life annuity eligible for the simplified safe harbor method under Notice 88-118.
	Box 10	State income tax withheld State income tax withheld from this distribution.
	Box 11	State/Payer's state number Identification number assigned to the payer by the state.
	Box 12	State distribution Amount of distribution for state taxing purposes.
	Box 13	Local income tax withheld Local income tax withheld from this distribution.
	Box 14	Name of locality Name of local taxing authority.
	Box 15	Local Distribution Amount of distribution for local taxing purposes.

The following table shows where information is collected for name and address.

Banner Form	Field Name	Used in PXR1099 regulatory process
PPAIDEN	spriden_last_name	"B" 7-10, Name Control
PPAIDEN	The first 40 characters of the full name: spriden_last_name ', ' spriden_first_name ' ' substr(spriden_mi,1,1)	"B" 248-287, First Payee Name Line
PPAIDEN	The next 41 - 80 characters of the full name: spriden_last_name ', ' spriden_first_name ' ' substr(spriden_mi,1,1)	"B" 288-327, Second Payee Name Line
PPAIDEN	The first 40 characters of spraddr_street_line1	"B" 368-407, Payee Mailing Address

Report Sample—1099-R Print Report (PXR1099)

When the 1099 forms are actually printed for individuals, totals will be included at the end of the printed forms for all amount boxes as shown in the following page:

REPORT : PXR1099	BANNER University	PAGE 1
	1099-R Print Report	RUN DATE: 10-NOV-2009
		RUN TIME: 04:26
* * * 1099-R TOTALS * * *		
1	Gross Distribution	17,611.68
2a	Taxable Amount	5,903.34
3	Capital Gain Election	425.00
4	Federal Income Tax Withheld	300.00
5	EE contrib/design. Roth contrib or ins. premiums	815.00
6	Net Unrealized Appreciation in Securities	705.00
8	Other Amount	635.00
9b	Total Employee Contributions	140.00
10	State Income Tax Withheld	95.00
12	State Distribution	17,611.68
13	Local Income Tax Withheld	80.00
15	Local Distribution	16,731.68
REPORT : PXR1099	BANNER University	PAGE 2
	1099-R Print Report	RUN DATE: 10-NOV-2009
		RUN TIME: 04:26

* * * REPORT CONTROL INFORMATION * * *

Parameter Name	Value	Source	Message
Parameter Seq No:	287249		
Tax Year:	2009	Default	
Fed/State Filer:	Y	Default	
1099-R Report:	Y	Default	
Tape File:	Y	Default	
Prior Year:	N	Default	
File Type:	1	Default	
Replacement Chars:		Default	
Electr. Filename:		Default	
Lines per Page:	60	Default	
Forms Count:	4		



Process and Generate 1099-R Forms

This section describes regulatory changes made to Banner functionality for filing 1099-R forms.

To file 1099-Rs, Banner Human Resources uses the following forms, process, and report:

- 1099-R Distribution Code Validation Form (PTV1099)
- 1099-R Load Process (PXP1099)
- 1099-R Form (PXA1099)
- 1099-R Print Report (PXR1099)

Instructions

The Banner HR System utilizes information from several rule forms to produce 1099-R forms. The 1099-R forms will contain accurate data only if this information is complete and correct. Instructions for providing the required information follow:

1. Complete all fields on the Employer Rule Form (PTREMPR).
2. On the Media Transmission Rule Form (PXAMTAP):
 - 2.1. Complete the **1099 Contact Name** and **1099 Contact Telephone** fields on the Media Transmission Transmitter Information window of the form. These fields identify the 1099-R contact person at your enterprise.
 - 2.2. Complete the **1099 Name Control** field on the Employer Information window.
3. On the Tax Code Rule Form (PXATXCD) select a value for the **1099-R Indicator** field.

This indicator is only applicable to State Tax Codes (for example, GA). It specifies whether the identified state participates in the Combined/Federal State 1099 program. Valid values are *Yes*, *No*, and *None*. (*None* is used when the associated tax type is something other than *State*.)

If you need to change the value for this indicator, follow the instructions for changing PXATXCD data in the online help of *Banner Human Resources*.

Note

Steps 4-7 are interrelated. Please read these four steps before performing Step 4. ■

4. Review the information on the 1099-R Distribution Code Validation Form (PTV1099).

This form lists all of the distribution codes needed to report information for 1099-R forms. For 2009, a new 1099 code, *U, Dividend distribution from ESOP under sec. 404(k)*, has been added to the validation form. The existing code, *E*, has been modified to change the code description. The codes on this form are delivered as seed data, and must not be changed unless advised by SunGard Higher Education. The usage of these codes is described below.

5. Complete the following two fields on the Regulatory Information window of the Earnings Code Rule Form (PTREARN):
 - 5.1. Enter a 1099-R distribution code in the **1099-R Code** field if the system should consider the earn code specified in the Key block of PTREARN when processing 1099-R forms. To view a list of valid values, double-click in the **1099-R Code** field.
 - 5.2. Select the **Taxable Amount not Determined from Earn Code** check box if the taxable amount of the earn code cannot be determined for 1099-R processing. When this field is checked, the 1099-R Load Process (PXP1099), will populate Box 2b on 1099-R.
6. Enter a 1099-R distribution code in the **1099-R Code** field on the Benefits and Deductions Rule Form (PTRBDCA) if the system should consider the benefit or deduction code specified in the Key block of PTRBDCA when processing 1099-R forms. (This field appears on the Benefit and Deduction Rules window of the form.) To view a list of valid values, double-click in the **1099-R Code** field.
7. Complete the following fields on the Tax Reporting Rule Form (PXAREPT):
 - 7.1. In the Key block, enter *1099* for the **Tax Report Code**.
 - 7.2. Complete the Box Identification block, Benefit or Deduction Code block, and the Earnings Code block for each box on the 1099-R form. (Refer to the online help of Banner Human Resources for instructions to enter information on the PXAREPT form.)

Rules for earnings and benefit or deduction codes listed for Box 1 determine what is loaded into the 1099-R form. The 1099-R forms will be completed according to the following rules:

- An employee will receive one 1099-R form for each distribution code associated with a deduction or earnings type listed for Box 1. The distribution code is specified in Box 7 of each 1099-R form.
- Only the deductions and earnings defined with the distribution code in Box 7 of a 1099-R form are included in the calculations for the boxes of that form.
- A deduction or earning will be included in the calculations for a particular box for an employee's 1099-R only if the following conditions are true:
 - The benefit or earning has been defined for the employee.
 - The benefit or earning has been listed for the box.

- The benefit or earning has been defined with the distribution code specified in box 7 of the 1099-R form.

For example, if *REG* is entered as an earn code for Box 1, and the **1099-R Code** field in the PTREARN form for REG contains a distribution code of *1*, each employee will receive a 1099-R form for distribution code 1. A *1* will appear in Box 7 of each of these forms. The 1099-R Load Process (PXP1099) will populate the PXR1099 table. In calculating the entry for Box 1 in the forms for distribution code 1, PXP1099 will consider each employee's regular salary as well as each of the employee's other earnings and deductions that has been listed for Box 1 and defined with a distribution code of 1. In calculating the entries for each of the other boxes on the form for a particular employee, PXP1099 will consider each of the employee's earnings and deductions that has been listed for that box and defined with a distribution code of 1.

Now, if another distribution code has been specified for another deduction or earning listed for Box 1, each employee will receive a 1099-R form for that distribution code also.

So, for example, if *FED* is entered as a deduction code for Box 1 and the **1099-R Code** field in the PTRBDCA form for FED contains a distribution code of *5*, each employee will receive a 1099-R form for distribution code 5. A value of *5* will appear in Box 7 on each of these forms. In calculating the entry for Box 1 in these forms, PXP1099 will consider each employee's federal tax as well as each employee's other earnings and deductions that has been listed for Box 1 and defined with a distribution code of 5. In calculating the entries for each of the other boxes on the form for a particular employee, PXP1099 will consider each of the employee's earnings and deductions that has been listed for that box and defined with a distribution code of 5.

The processing described in the above examples is performed for all distribution codes associated with Box 1. As a result, multiple 1099-R forms can be produced for a particular employee. In each case, the distribution code appears in Box 7 of the form.

8. Access the Crosswalk Validation Form (GTVSDAX) and enter the address type(s) in the External Code for the Internal Code *1099ADDR*.

For more details on creating an address hierarchy, see the topic, "[Set Up Address Hierarchy for W-2s, 1099-Rs, or 1042-Ss](#)" on page 45 of the release notes.

9. Run the 1099-R Load Process (PXP1099) to populate the PXR1099 table.

All records created by this process can be viewed online on the 1099-R Form (PXA1099). Use the down-arrow key to display all 1099-R forms for an employee, and note the change in distribution code (shown in Box 7) if there are multiple 1099-R forms. If you find any errors, make the necessary changes on the PXA1099 form.

Alternatively, you can also create 1099-R records directly on the PXA1099 form without running the PXP1099 Load Process. This functionality might be easier for enterprises that have relatively few 1099-R forms to send.

 **Note**

For IRA, SIMPLE, and SEP accounts, it is possible that Box 2a will contain a value and Box 2b will be checked on the 1099-R form. When you save the record or when you scroll through previously created records, you will receive a warning message indicating that this scenario is unlikely. Ignore this message if you need both boxes populated. ■

Refer to the online help of Banner Human Resources for instructions to enter or change a 1099-R record on the PXA1099 form.

10. Finally, run the 1099-R Print Process (PXR1099).

For more information on the process itself, refer to [“1099-R Print Report \(PXR1099\)” on page 79](#) of the release notes.

6 2009 1099-R Enhancements - Technical



This section documents the technical changes made for the 1099-R enhancements.

New Seed Scripts

The following seed scripts insert values on the PTV1099 validation form.

ptv1099d_70212.sql

In the event of an SQL error, this script deletes the codes E and U from the PTV1099 table and performs a Rollback.

ptv1099i_70212.sql

This script inserts the following values into the PTV1099 table.

Column	Value
PTV1099_CODE	<i>E</i>
PTV1099_DESC	<i>Distribution Employee Plans Compliance (EPCRS)</i>
PTV1099_ACTIVITY_DATE	<i>SYSDATE</i>
PTV1099_CODE	<i>U</i>
PTV1099_DESC	<i>Dividend distribution from ESOP under sec. 404(k)</i>
PTV1099_ACTIVITY_DATE	<i>SYSDATE</i>



7 Problem Resolutions



This section lists the defects resolved in Banner Human Resources 8.2.4. Due to the small number of problem resolutions for this release, each is summarized below and the .txt file is not delivered.

Object	Number	Description
pxpw209.pc	1-87OCHV	When PXPW207 is run for a quarter, non-qualifying people are put in MQGE status.
pxpmt42.pc	1-6FQGWO	Special characters in the audit trail prohibit editing of the program in UNIX.

