Detailed Design
RELEASE 1334

Phase II
W-4/DE4 Tax Withholding Process
Service Request 14844

Tax Withholding Edits
Service Request 14850

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Information Systems & Computing
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**Introduction**

Service Request 14844 asked that modifications be made to the tax withholding process for automated reporting of W4s to the IRS (Internal Revenue Service), and in preparation for the UC For Yourself project that will allow employees to update their Federal and State tax withholding data via this web application.

Release 1325, dated January 2, 2001, has satisfied the above requirements. However, due to time constraints, the ability to generate a facsimile W-4/DE4 form via the CICS on-line system and the option of producing an audit report via a batch process of selected employees’ tax data were not included in Release 1325.

An addendum, dated February 15, 2001, addresses an issue of employees refiling for exempt status for the new calendar year. The W-4 Process Date, DE4 Process Date, and Tax Processor ID are not derived for these employees who are refiling for exempt status. Currently, if an employee is renewing his or her tax exempt status for the new calendar year, the user must rekey the value of "998" for the Federal and/or State withholding allowance in the Payroll/Personnel System. Upon update, the W-4 Received Indicator (EDB 0164) is then set to a value of "1". With the new tax withholding process, the W-4 Process Date, DE4 Process Date, and Tax Processor ID should be automatically derived as it is when processing other tax transactions on-line or through batch.

This document describes the requirements for modifications to the Payroll/Personnel System (PPS) to generate a facsimile W-4/DE4 form via the CICS on-line system and the option of producing an audit report via a batch process of selected employees’ tax data. These modifications to the PPS will be part of Phase II of Service Request 14844, as well as the addendum.

**Service Request 14844**

**Produce Facsimile W-4/DE4 Certificate**

When it is necessary to report to the IRS of selected employees who have changed any of their tax data, a facsimile W-4/DE4 form should be produced via the CICS on-line system using the history tax data stored in the history database (HDB).

**Tax Transactions Audit Reporting**

A mechanism should be developed where a group of employees can be selected for audit reporting via a batch process using the tax data stored on the history database. It is suggested that a date range be specified to select the history tax data records for reporting.

**Service Request 14850**
Currently two edits are performed in the Payroll/Personnel System to limit the tax exemptions the employee can claim when a government-ordered limit has been placed on the number of allowable exemptions for the employee.

Message 12-133, ‘Maximum Fed Exemption Exceeded – Input Rejected’ is issued when the Federal Tax Withholding Allowances (EDB 0128) value is changed and the new value is greater than the value of the Federal Tax Maximum Withholding Allowances (EDB 0320) data element. The change to EDB 0128 is blocked and the old value is retained.

Message 12-134, ‘Maximum State Exemptions Exceeded – Input Rejected’ is issued when either the State Tax Personal Withholding Allowances (EDB 0131) value or the State Tax Itemized Deduction Withholding Allowances (EDB 0132) value is changed and the total of EDB 0131 and EDB 0132 is greater than the value of the State Tax Maximum Withholding Allowances (EDB 0321) data element. The change to EDB 0131 and/or EDB 0132 is blocked and the old values retained.

**Issues with Current Process**

Several issues with the current process were noted during testing of a recent system modification. It should be noted that the setting of a limit on withholding allowances is a fairly uncommon occurrence, so these issues have not created major problems to date.

1. Because the messages are only issued in the update process (USER12) and not the edit process (USER08), the on-line user is not notified on the ECON screen that an error has occurred and input has been rejected.

2. The messages have severity levels of Employee Reject, which implies that all activity for the employee is blocked. However, because there is no corresponding USER08 message, any other updates are accepted. In effect, the edits and message perform more like a ‘Data Override’ level message.

3. The edits only take place if one of the withholding allowances fields (EDB 0128, 0131, 0132) is changed, and not if one of the maximum withholding allowances fields (EDB 0320, 0321) is changed. Therefore, it is possible for the user to change the Federal Maximum Withholding Allowances or State Maximum Withholding Allowances value and not trigger the appropriate edit. For example, if the existing value of Federal Tax Withholding Allowances is ‘11’, and the Maximum Withholding Allowances is changed from 999 to ‘10’, the edit is not triggered and therefore the employee is allowed to claim deductions greater than the limit.

4. The sequence of the edit for the state tax fields tests the State Tax Personal Withholding Allowances (EDB 0131) first, and then the State Tax Itemized Deduction Withholding Allowances (EDB 0132). Because of this, the change to State Tax Personal Withholding Allowances may be rejected while the change to the State Tax Itemized Deduction Withholding Allowances made at the same time will be accepted.

5. A change to the Social Security Number (EDB 0111) causes the W4 Form Processed Indicator (EDB 0164) to be set to ‘1’. In the past, employees used the W4 form to indicate a change to the Social Security Number. Since the Social Security Number is typically changed on the
EDB based on non-W4 form sources, setting the W4 Form Processed Indicator based on a change to SSN is misleading.

**Proposed Modifications**

1. It is suggested that adding corresponding messages in the edit process (USER08), and triggering the edits on all the fields used in the edit, will address issues one through four, above.

2. Change the edit associated with message 12-133 so that it is performed both in the edit (USER08) and the update (USER12) processes. The edit should be triggered whenever a change is made to the Federal Tax Withholding Allowances (EDB 0128) or the Federal Tax Maximum Withholding Allowances (EDB 0320) values. A USER08 message should be added with the message text ‘Federal Tax Allowances May Not Exceed Maximum Allowances’. The new message should have a severity of ‘Employee Reject’ in both on-line and batch. The text of the existing 12-133 message should be changed to ‘Federal Tax Allowances May Not Exceed Maximum Allowances’.

3. Change the edit associated with message 12-134 so that it is performed both in the edit (USER08) and the update (USER12) processes. The edit should be triggered whenever a change is made to the State Tax Personal Withholding Allowances (EDB 0131), the State Tax Itemized Deduction Withholding Allowances (EDB 0132), or the State Tax Maximum Withholding Allowances (EDB 0321) values. A USER08 message should be added with the message text ‘State Tax Allowances May Not Exceed Maximum Allowances’. The new message should have a severity of ‘Employee Reject’ in both on-line and batch. The text of the existing 12-134 message should be changed to ‘State Tax Allowances May Not Exceed Maximum Allowances’.

The following change should be made to address issue five, above.

The EDB File Maintenance process should be modified so that the W4 Form Processed Indicator (EDB 0164) is not derived when the Social Security Number (EDB 0111) is changed.
Differences from Requirements

During the development of the W-4 Tax Withholding Process specified in Service Request 14844, several issues arose which were either not specifically addressed in the requirements, or which necessitated a different approach than what was suggested in the original requirements.

These unaddressed issues and differences from what was requested are outlined below.

- It is asked that when the facsimile W-4/DE4 form runs to multiple pages, each subsequent page thereafter should be repeated with the employee's Name, Home Address, Employee ID, and Social Security number at the top of each subsequent page of the form along with the form name. The pages should be numbered using the standard numbering schematic, i.e., page 01 of 02, page 02 of 02, etc.

  The above request will not be implemented, given system restrictions.

- The original requirement states that the facsimile W-4/DE4 form should be printed, but does not specify where the form should be sent to.

  A decision has been made that when a facsimile W4/DE4 form is requested via the CICS function IHTX, the facsimile W-4/DE4 form should be sent to the email address entered on the IHTX screen, and as an attachment in the email.
Processing Overview

Phase II

EDB File Maintenance

The edit associated with message 12-133 will be changed such that it will be performed both in the edit (USER08) and the update (USER12) processes. The edit will be triggered whenever a change is made to the Federal Tax Withholding Allowances (EDB 0128) or the Federal Tax Maximum Withholding Allowances (EDB 0320) values. A USER08 message will be added with the message text ‘Federal Tax Allowances May Not Exceed Maximum Allowances’. The new message will have a severity of ‘Employee Reject’ in both on-line and batch. The text of the existing 12-133 message will be changed to ‘Federal Tax Allowances May Not Exceed Maximum Allowances’.

The edit associated with message 12-134 will be changed such that it will be performed both in the edit (USER08) and the update (USER12) processes. The edit will be triggered whenever a change is made to the State Tax Personal Withholding Allowances (EDB 0131), the State Tax Itemized Deduction Withholding Allowances (EDB 0132), or the State Tax Maximum Withholding Allowances (EDB 0321) values. A USER08 message will be added with the message text ‘State Tax Allowances May Not Exceed Maximum Allowances’. The new message will have a severity of ‘Employee Reject’ in both on-line and batch. The text of the existing 12-134 message will be changed to ‘State Tax Allowances May Not Exceed Maximum Allowances’.

The EDB File Maintenance process will be modified so that the W4 Form Processed Indicator (EDB 0164) is not derived when the Social Security Number (EDB 0111) is changed.

On-line changes:

Currently, the IHTX screen displays all tax data records for a selected employee. When a particular tax data record is selected by entering a selection code of ‘S’ to the left of the tax transaction and pressing the PF 5 (GenDoc) key, a facsimile W-4/DE4 form will be produced containing the employee’s appropriate tax information similar to the information on the original paper form W-4/DE4.

Tax Audit Reporting:

A batch process will be developed to produce an audit report of the employees’ tax data. Tax data records with a W-4 Process Date or DE4 Process Date that fall within the beginning and ending date range (specified on the spec record will) be selected for audit reporting.
System File Changes

New Process Control DB2 Table (PCD)

1. A new DB2 table named ‘PPPW4D’ will be created in the Process Control Data Base (PCD) to store the yearly W-4/DE4 Certificate template. The text contained in the template will be similar to the text on the original W-4/DE4 form. The structure of the PPPW4D Table will be as follows:
   a) Table Key
      - Document Year
      - Text Line Number
   b) Table Data
      - Data Start Position 1
      - Data ID 1
      - Data length 1
      - Data Start Position 2
      - Data ID 2
      - Data length 2
      - Data Start Position 3
      - Data ID 3
      - Data length 3
      - W-4 Line Text

New Transaction ID

Similar to the modules UCPANMLR and UCPANNOT in the PAN E-Mail Process which execute in Transaction ID T004, a new Transaction ID will be created for the W-4 E-Mail Process.

Modules UCTAXMLR and UCTAXDOC will execute in Transaction ID of T005 for the W-4 E-Mail Process.

New Transient Data Queue (TDQ)

Similar to the TDQ defined for the PAN E-Mail Process in the existing PAN System, a TDQ will be created for the W-4 E-Mail Process.
The single difference in parameter value between the TDQ in the W-4 E-Mail Process and the TDQ in the existing PAN E-Mail Process is the value ‘TAXQ’ for the parameter DESTID. The parameter values will be as follows:

DESTID=TAXQ
DESTFAC=FILE
DESTRCV=LG
TRANSID=T005
TRIGLEV=1
Copylib Changes

**CPWSHTXW**

This new copymember CPWSHTXW will be the linkage between the calling module PPWIHTX and called modules PPAPHRLF, PPAPHRKS, and PPAPHRSR.

Copymember CPWSHTXW will hold and pass information needed to process the selection of the tax transaction on the IHTX screen.

**CPWSXEST**

This copymember will be modified to include the field definition for the W-4 Received (EDB 0164) Indicator on the X1 type transaction.

**UCWSTAXM**

This new copymember UCWSTAXM will contain the structure of the TDQ (Transient Data Queue) record used for triggering the W-4 Email Process when the (TAXQ) transient data queue is read. The record will contain the following information:

- HTX Employee ID
- HTX Iteration Number
- HTX System Entry Date
- HTX System Entry Time
- Email Address

**UCWSTAXW**

This new copymember UCWSTAXW will contain the working storage area for holding and passing information needed to generate the facsimile W-4/DE4 Certificate.
DDL

- W-4/DE4 Certificate Template Table (PPPW4D)

  **IXW4D00C**
  
  This member contains the DDL statements to create the new Index for Table PPPW4D.

  **PPPVZW4D**
  
  This member will contain the DDL statements to create the new View PPPVZW4D_W4D.

  **TBW4D00C**
  
  This member contains the DDL statements to create the new Table PPPW4D.

  **TSW4D00C**
  
  This member contains DDL statements to create the Table Space for Table PPPW4D.
Include Members

PPPVZW4D

This new Include member will contain the COBOL field definitions and DB2 Column Names for the following data items:

Document Year
W-4 Line Number

Data Start Position 1
Data ID 1
Data length 1

Data Start Position 2
Data ID 2
Data length 2

Data Start Position 3
Data ID 3
Data length 3

W-4 Line Text
Bind Members

**PPP776**

This bind member will contain the plan bind for PPP776.

**UCTAXDOC**

This bind member will contain the package bind for UCTAXDOC.

**UCTAXXMLR**

This bind member will contain the package bind for UCTAXXMLR.
CICS Maps (DGIPNL)

PPIHTX0

Currently, this map is used by the screen detail processor program PPWIHTX to process and display all history tax data of the selected employee.

A new field named ‘Email Address’ will be added to the map.

The Federal Additional Allowance (EDB 6010) data field will be expanded to allow for the placement of an asterisk ‘*’ immediately to the right of the amount to indicate a change has been made to the Federal Additional Allowance data since the last update. The State Additional Allowance (EDB 6011) data field will be expanded to allow for the placement of an asterisk ‘*’ immediately to the right of the amount to indicate a change has been made to the State Additional Allowance data since the last update.

PPHRFT3

Currently, this map is used by the screen detail processor program PPWIHTX to display the footer portion of the screen.

The footer line containing the label ‘Next Func’ in the footer portion of the screen will be adjusted downward by 1.
Program Changes

PPEG370

This program derives the Tax Processor ID (EDB 0340) when a change has occurred on either the Federal Additional Withholding Amount (EDB 6010G) or the State Additional Withholding Amount (EDB 6011G).

Logic will be added to not derive the Tax Processor ID when an explicit update has occurred on EDB 0340.

PPEI370

Currently, this program derives the Tax Processor ID (EDB 0340) when a change has occurred on any of the Federal Marital Status (EDB 0127), Federal Exempt (EDB 0128), State Marital Status (EDB 0130), State Personal Deduction (EDB 0131), or State Itemized Deduction (EDB 0132).

Logic will be added to not derive the Tax Processor ID when an explicit update (via update transaction) has occurred on EDB 0340. Logic will be added to derive the appropriate W-4 Process Date and/or DE4 Process Date when an employee is refiling for exempt status for the new calendar year.

PPEI402

The logic that issues messages 12-133 and 12-134 when the Federal Exempt (EDB 0128) and the combined State Exemptions (EDB 0131, 0132) are greater than the Federal Maximum Allowance and State Maximum Allowance respectively will be removed. Note that this logic will be moved to new module (see module PPEC730 in this section).

The logic that sets the W4 Form Processed Indicator (EDB 0164) when a change is made to the Social Security Number (EDB 0111) will be removed. That is, a change to the Social Security Number will not cause the W4 Form Processed Indicator to be set to ‘1’.

PPESTEDB

This program will be modified to process the W4 Received Indicator value on the X1 type transaction.

PPAPHRLF
Currently, PPAPHRLF is the logical function processor for History Reporting that manages the selection of functions in conjunction with UCROUTER.

Logic will be added to process the new logical functions for generating the Facsimile W-4/DE4 Certificate, and canceling the selected tax transaction on the IHTX screen. UCROUTER will call PPAPHRLF when one of the following PF Keys is pressed on the IHTX screen.

- **CANCEL-DOCW4 (PFK-2)**
  
  The working storage area contained in copymember CPWSHTXW will be reinitialized, eliminating the selection, and a flag will be set to cause PPWHITX to issue message P0648 – “Selection(s) cancelled”.

- **GENDOC-DOCW4 (PFK-5)**

  If a single tax transaction is selected and no errors have been found, a flag will be set to cause PPWIHTX to issue **P0670 – “Tax transaction processed”**. In addition, the module UCTAXXMLC associated with writing the E-Mail Trigger Record to the TDQ will be called.

**PPAPHRKS**

Currently, PPAPHRKS is the HDB Inquiry Key Switch Application Processor that retrieves the correct PPPBAS row whenever a different Employee ID is selected for processing.

Logic will be added to initialize the Working Storage Area contained in copymember CPWSHTXW when a different Employee ID is selected for processing.

**PPAPHRSR**

Currently, PPAPHRSR is the program that stores and restores the on-line environment between terminal accesses for the History Reporting subsystem.

Logic will be added to store and restore the working storage area contained in a temporary Storage queue (TSQ) via copymember.

**PPWIHTX**

The following logic will be added or modified:

**Initialization section**

The logical function of GEN-DOCW4 will be set in copymember UCPISCRN.

The working storage area in copymember CPWSHTXW will be initialized after the selected tax transaction has been canceled or the document has been generated.
Main section

- Edit Request action

  The section **3000-PROCESS-ENTER** will be performed.

- Forward Request action

  The screen map will be set to low values when no errors are found, no selection of tax transaction, and the email address field is blank. That is, the user will not be allowed to page forward when a tax transaction has been made, errors have been detected, or the email address has been entered on the particular page.

- Backward Request action

  The screen map will be set to low values when no errors are found, no selection of tax transaction, and the email address field is blank. That is, the user will not be allowed to page backward when a tax transaction has been made, errors have been detected, or the email address has been entered on the particular page.

Setup Paging section

The Cancel function key will only be present in the footer portion of the screen when a selection code, whether valid or invalid, has been entered in the selection code field.

Cancel and GenDoc Errors section

If a tax transaction is selected, no edit errors are found and the Forward Request or Backward Request action is set,

Message P0675 – “Selection must be processed – Press PF5 (GenDoc) or PF2 (Cancel)” will be issued.

If the logical function ‘CAN-DOCW4’ is set,

If the Cancel Selection flag is set from PPAPHRLF, message P0648 – “Selection cancelled” will be issued.

If the Cancel request is made when a tax selection is not made, message P0673 – “Invalid cancel - tax transaction not selected” will be issued.

If the logical function ‘GEN-DOCW4’ is set

If the Document-Generated flag is set from PPAPHRLF, message P0670 – “Tax transaction Processed” will be issued.
If the GenDoc request is made when a tax transaction selection is not made, message P0673 – “Invalid GenDoc - tax transaction not selected” will be issued.

If the GenDoc request is made, a tax transaction is selected, and no email address is entered, message P0671 – “Enter email address for document processing” will be issued.

If a tax transaction is selected and the GenDoc request,

If the template is missing, message P0672 – “Document not generated – template for applicable year missing” will be issued.

Refer to section Process Selected Tax Trans Entry below for an explanation how the “Applicable Year” is derived.

Display Data section

Logic will be added to move the Email Address data to the map data field as well as the map attributes. In addition, logic will be added to move the appropriate map attributes to the one byte selection code field.

If the Federal Additional Amount Indicator is not blank, an asterisk (‘*’) will be moved to the eleventh position of the Federal Additional Amount (EDB 6010) data field.

If the State Additional Amount Indicator is not blank, an asterisk (‘*’) will be moved to the eleventh position of the State Additional Amount (EDB 6011) data field.

Process Enter section

Logic will be added to process the Tax Selection Entry and the input of the email address. It is assumed that the user will enter only one email address; no editing of the email address will be made.

Edit Tax Selection Entry section

If the particular tax transaction record is selected, add one to the Selection Counter.

If the Selection Counter is greater than one, the tax transaction entry will be flagged as an error; the Multi-Selection Flag will be set associated with the tax transaction entry.

If the one-byte selection entered under the selection column is not ‘S’, the tax transaction entry will be flagged as an error; the Invalid Selection Flag will be set associated with the tax transaction entry.

Invalid Selection Entry section

The appropriate map error attributes will be moved to the Selection field.
If the Multi-Selection Flag is set, message P0646 – “Only one selection permitted” will be issued.

If the Invalid Selection Flag is set, message P0647 – “Only valid selection code is ‘S’” will be issued.

**Process Selected Tax Trans Entry section**

The following information will be saved in working storage (copymember UCWSTAXW):

- Email Address
- Name of User ID
- Employee ID from the selected Tax Transaction record
- Iteration Number from the selected Tax Transaction record
- System Entry Date from the selected Tax Transaction record
- System Entry Time from the selected tax Transaction record.

The Applicable Year value used for accessing the Facsimile W-4/DE4 Certificate Template Table is derived from the selected tax transaction as follows:

- If the DE4 Process Date is greater than the W-4 Process Date, the year in the DE4 Process Date will be moved to the Applicable Year field.

- If the W-4 Process Date is greater than the DE4 Process Date, the year in the W-4 Process Date will be moved to the Applicable Year field.

- Otherwise the year in the DE4 Process Date will be moved to the Applicable Year field.
New Programs

PPEC730

This new program will edit the tax data when a change is made to the Federal Exemption (EDB 0128), Maximum Federal Allowance (EDB 0320), State Personal Deduction (EDB 0131), State Itemized Deduction (EDB 0132), or Maximum State Allowance (EDB 0321).

Message 08-260 ‘Federal tax allowances may not exceed maximum allowances’ will be issued when the Federal Exemption (EDB 0128) is greater than the Maximum Federal Allowance (EDB 0320). Message 08-261 ‘State tax allowances may not exceed maximum allowances’ will be issued whenever the Combined State Exemption (EDB 0131, 0132) is greater than the Maximum State Allowance (EDB 0321).

PPP776

This program will be developed to provide an audit report of selected history tax data. The selection of history tax records stored on the history database will be determined by the Beginning Date and Ending Date Range entered on the specification record.

If the Report Data Indicator value of ‘F’ is entered on the specification record, then only associated federal tax data (Federal Tax - Marital (EDB 0127), Federal Tax – Withholding Allowances (EDB 0128), Federal Tax – Additional Amount (EDB 6010G), and the W-4 Process Date (EDB 0340)) are reported on the audit report. If the Report data Indicator value of ‘S’ is entered on the specification record, then only the state tax data (State Tax – Marital Status Code (EDB 0130), State Tax – Withholding Allowances (EDB 0131), Sate Tax Itemized Withholding Allowances (EDB 0132), State Tax – Additional California Amount (EDB 6011G), and the DE4 Process Date (EDB 0339) will be reported on the audit report. Lastly, if the Report Data Indicator value of ‘A’ is entered on the specification record, then both the federal and state tax data will be reported on the audit report.

Via a report sort option value of ‘N’ or ‘S’ entered on the specification record, the sequence or order of the detail lines on the audit report will be in Employee Name (EDB 0105) order (sort option ‘N’), or in Social Security Number (EDB 0111) order (sort option ‘S’) respectively.

Run Specification Record Edit:

If a Run Specification Record does not exist, an error message will be issued and the job will terminate. If the record exists, the program ID will be edited. If the program ID is invalid, an error message will be issued, and the job will terminate.
Both the Beginning and Ending Report Date Range entered will be edited for a valid date. If the Beginning or Ending Date Range is not valid, an error message will be issued and the job will terminate.

If the Report Data option value entered is not ‘A’, ‘F’ or ‘S’, an error message will be issued and the job will terminate. If the Report Sort option value entered is not ‘N’ or ‘S’, an error message will be issued and the job will terminate.

The following is a sample layout for the Run Specification record:

```
 1---5----0----5----0----5----0----5----0
PPP776-SPEC010100123100FS
```

Columns 1 through 11 (Program ID)
Columns 12 through 17 (Beginning Report Date Range in format of MMDDYY)
Columns 18 through 23 (Ending Report Date Range in format of MMDDYY)
Column 24 (Report Data Option, value ‘A’ (Report Federal and State Tax data), ‘F’ (Report Federal Tax data only), or ‘S’ (Report State Tax Data only)
Column 25 (Report Sort order, value ‘N’ = Employee Name order, or ‘S’ = ‘Social Security Number order)

**Initialization:**

The Specification File and Output Report Files will be initially opened. In addition, the cursor defined for the PPPHTX Table will be opened.

**Input:**

The following DB2 tables will be accessed to read the input data for the W-4/DE4 Audit Reporting:

- PPPIDX Table (History Index Data)
- PPPBAS Table (History Basic Data)
- PPPHTX Table (History Tax Data)

**Process:**

**History Tax Data Selection Criteria:**

- If the Report Data option value of ‘F’ is specified on the specification record, only Federal Tax Data are selected.

  If the W-4 Process Date is within the Beginning and Ending Report Date Range specified on the specification record, and the History Federal Marital Change Indicator, History Federal
Withholding Allowance Change Indicator, or History Federal Withholding Additional Amount Change Indicator contains a value of (‘Y’),

The History Tax Record will be selected for reporting.

• If the Report Data option value of ‘S’ is specified on the specification record, only State Tax Data are selected,

If the DE4 Process Date is within the Beginning and Ending Report Date Range specified on the specification record, and the History State Marital Change Indicator, History State Personal Withholding Allowance Change Indicator, History State Itemized Withholding Allowance Change Indicator, or History State Withholding Additional Amount Change Indicator contains a value of (‘Y’),

The History Tax Record will be selected for reporting.

• If the Report Data option value of ‘A’ is specified on the specification record, Federal Tax Data and State tax Data are selected,

If the W-4 Process Date or DE4 Process Date is within the Beginning and Ending Report Date Range specified on the specification record,

If the History Federal Marital Change Indicator, History Federal Withholding Allowance Change Indicator, or History Federal Withholding Additional Amount Change Indicator contains a value of (‘Y’),

OR

The History State Marital Change Indicator, History State Personal Withholding Allowance Change Indicator, History State Itemized Withholding Allowance Change Indicator, or History State Withholding Additional Amount Change Indicator contains a value of (‘Y’),

The History Tax Record will be selected for reporting.

**Display of tax data on W-4/DE4 Audit Report**

If the Report Data option specifies federal and state tax data, the federal and state tax data will be displayed on the audit report. If the Report Data option specifies federal tax data only, the federal tax data will be displayed on the audit report. If the Report Data option specifies state tax data only, the state tax data will be displayed on the audit report.

**Output:**

The following outputs will be produced:

• W-4/DE4 Report (PPP77601)
Final Termination:

The Specification File and the Output Report Files will be closed.

UCTAXDOC

The logic will be cloned from existing module UCPANNOT.

Access History Tax Data Table

The tax transaction key data provided by UCTAXXMLR in copymember UCWSTAXW would be used to access the DB2 Table PPPHTX to obtain the single tax transaction record selected by the on-line user. An internal array appended to the end of the EXTERNAL copymember UCWSTAXW will contain a maximum of 18 entries. Each entry will contain the appropriate tax data, an assigned Data ID (must be already defined on the PPPW4D Table for a particular text line) to identify the particular tax data, and the Data Change Indicator.

Access W-4/DE4 Template Table

The DB2 Table PPPW4D contains the facsimile W-4/DE4 Certificate template beginning with the year 2001. The PPPW4D table contains text lines, each line with a maximum length of 79. Text lines stored under a specific document year comprise the appropriate template for that year. For each subsequent year, an updated template will be stored under the appropriate document year.

Process Data

Up to a maximum of three Data IDs, Data Start Positions, and Data Lengths are associated with each text line on the PPPW4D Table. For example, if the Data ID value is 0105, Data Start Position value is ‘1’, and the Data Length is 26, the internal array will be searched for Data ID value of ‘0105’. If the entry is found in the internal array, the tax data will be moved to the text line starting in position 1 for a total length of 26.

If the history Federal Exemption Allowance (EDB 0128) or the State Personal Deduction (EDB 0131) contains a value of ‘998’, the word ‘EXEMPT’ will be moved to the appropriate position on the particular text line. Otherwise the Federal Exemption Allowance or the State Personal Deduction will be moved to the appropriate position on the text line. If both the Federal Exemption Allowance and the State Personal Deduction contain a value of ‘998’, the word EXEMPT will be moved to the appropriate text line in Section III of the facsimile W-4/DE4 Certificate template.

As each text line from the PPPW4D Table is read and the appropriate tax transaction data is placed into the correct position on the text line, the text line is written to the Temporary Storage Queue (TSQ) with a Queue name of TAXMAILQ.
**UCTAXMLC**

The logic in this module will be cloned from the existing UCPANMLC module.

Similar to the existing UCPANMLC module, this new module will be the CICS-specific module that triggers the distribution of the facsimile W-4/DE4 Certificate to the appropriate electronic-mail recipient. The data in copymember UCWSTAXM will contain the necessary data provided by the calling module PPAPHRLF to write a record to the TAXQ transient data queue (TDQ) to invoke the mail creation module UCTAXMLR (which is executed in Transaction ID “T005”).

**UCTAXMLR**

The logic in this module will be cloned from the existing UCPANMLR module.

As each trigger record is read from the TDQ (trigger record written from module UCTAXMLC),

The data in the trigger record is moved to copymember UCWSTAXW. Next, UCTAXDOC will be called to process the data stored in copymember UCWSTAXW. Using the key provided in UCWSTAXW, module UCTAXDOC will write the appropriate text line to the Temporary Storage Queue associated with a Queue Name “TAXMAILQ”.

The JES2 spool file is opened.

To interface to the SMTP (Simple Mail Transfer Protocol) mailer, specific attributes (SMTP Headers) and SMTP Command Data will be written to the JES2 spool file at the beginning of the spool file. Following the SMTP headers and SMTP command data, each text line read from the TSQ associated with a Queue Name of “TAXMAILQ” will be written to the JES2 spool file.

The JES2 spool file will be closed.

*Similar to the UCPANMLR module, the UCTAXMLR module can only guarantee that the electronic mail document is placed on the MVS spool for processing by the SMTP mailer. It is not possible to communicate error conditions in the email system to the W-4 Process. Errors that may prevent an electronic mail document from being received by the intended addressee include failures in the JES2 spool. The SMTP mailer or anywhere in the SMTP TCP/IP network.*
Form

UPAY900 (W-4/DE4 Audit Reporting)

This form will define the Program Run Specification for program PPP776.

The following is a sample layout for the Run Specification record:

```
1 2 3 4
1---5----0----5----0----5----0----5----0
PPP776-SPEC010101012301A
```

Columns 1 through 11 (Program ID)
Columns 12 through 17 (Beginning Report Date Range, format of MMDDYY)
Column 18 through 23 (Ending Report Date Range, format of MMDDYY)
Column 24 (Report Data Selection). ‘A’ – Select History Federal and State Tax Data
   ‘F’ – Select History Federal Tax Data only
   ‘S’ – Select History State Tax Data only
Column 25 (Report Sort Order) ‘N’ – Last Name order
   ‘S’ – Social Security order
CICS Help Texts

Field Level Help Text

PPP0018

Email Address - The proposed text is:

**Description**: The email address in which the W-4 facsimile is sent to.

**Format**: N/A

**Code Interpretation**: N/A
Control Table Updates

System Messages (PPPMSG)

The following messages will be added to System Messages Table:

CN –730 - "CONSISTENCY EDIT 730 FAILED" with a severity level of ‘7’ (Employee Reject)

08-260 – “FEDERAL TAX ALLOWANCES MAY NOT EXCEED MAXIMUM ALLOWANCES” with a severity level of ‘7’ (Employee Reject)

08-261 – “STATE TAX ALLOWANCES MAY NOT EXCEED MAXIMUM ALLOWANCES” with a severity level of ‘7’ (Employee Reject)

The message texts for the following message numbers will be changed:

12-133 – “FEDERAL TAX ALLOWANCES MAY NOT EXCEED MAXIMUM ALLOWANCES” with a severity level of ‘7’ (Employee Reject)

12-134 – “STATE TAX ALLOWANCES MAY NOT EXCEED MAXIMUM ALLOWANCES” with a severity level of ‘7’ (Employee Reject)

77-600 – “INPUT RUN SPECIFICATION RECORD” with a severity level of ‘1’ (Informational)

77-601 – “SPECIFICATION RECORD MISSING” with a severity level of ‘8’ (See Operations)

77-602- “SPECIFICATION ID INVALID - MUST BE PPP776-SPEC” with a severity level of ‘8’ (See Operations)

77-603 – “REPORT BEGIN DATE IS INVALID” with a severity level of ‘8’ (See Operations)

77-604 – “REPORT END DATE IS INVALID” with a severity level of ‘8’ (See Operations)

77-605 – “REPORT END DATE CANNOT BE LESS THAN REPORT BEGIN DATE” with a severity level of ‘8’ (See Operations)

77-606 – “REPORT DATA SELECTION OPTION IS INVALID” with a severity level of ‘8’ (See Operations)

77-607 – “REPORT SORT OPTION IS INVALID” with a severity level of ‘8’ (See Operations)

P0-670 – “Tax transaction processed” with a severity level of ‘1’ (Informational)
P0-671 – “Enter email address for document processing” with a severity level of ‘3’ (Warning)

P0-672 – “Document not generated - template for applicable year missing” with a severity level of ‘3’ (Warning)

P0-0674 – “Invalid GenDoc - tax transaction not selected” with a severity level of ‘3’ (Warning)

P0-0675 – “Selection must be processed – Press PF5 (GenDoc) or PF2 (Cancel)” with a severity level of ‘3’ (Warning)

**Data Element Table (PPPDET)**

The following data elements will be added to the Data Element Table:

A trigger value of ‘730’ associated with Consistency Edits will be added to the following existing data elements:

- EDB 0128 – Federal Tax - Withholding Allowances
- EDB 0320 – Maximum Federal Tax - Withholding Allowances
- EDB 0131 – State Tax – Personal Withholding Allowances
- EDB 0132 – Itemized Deduction Withholding Allowances
- EDB 0321 – Maximum State Tax - Withholding Allowances

Currently, EDB 0340 is made not legal to update.

EDB 0340 – Tax Processor ID will be made legal to update via an X1 type transaction.

**Routine Definition Table (PPPRTD)**

The following new module will be added to this table:

<table>
<thead>
<tr>
<th>Routine Nbr</th>
<th>Module</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>C730</td>
<td>PPEC730</td>
<td>GENERAL TAX DATA EDITS</td>
</tr>
</tbody>
</table>

**Processing Group Table (PPPPGT)**

Existing modules PPEI370 and PPEG370 will be deleted and added to a new position on the PGT Table.

*Delete transactions* will be created to delete existing modules PPEI370 and PPEG370.
Add transactions will be created for new module PPEC730, and existing modules PPEI370 and PPEG370.

<table>
<thead>
<tr>
<th>ID</th>
<th>Group</th>
<th>Sequence</th>
<th>Module</th>
</tr>
</thead>
<tbody>
<tr>
<td>12</td>
<td>011</td>
<td>0035</td>
<td>PPEI370</td>
</tr>
<tr>
<td>12</td>
<td>011</td>
<td>0036</td>
<td>PPEG370</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Prog ID</th>
<th>Processing Group</th>
<th>Sequence</th>
<th>Module</th>
</tr>
</thead>
<tbody>
<tr>
<td>08</td>
<td>008</td>
<td>1293</td>
<td>PPEC730</td>
</tr>
<tr>
<td>12</td>
<td>010</td>
<td>0040</td>
<td>PPEC730</td>
</tr>
<tr>
<td>12</td>
<td>007</td>
<td>1040</td>
<td>PPEI370</td>
</tr>
<tr>
<td>12</td>
<td>007</td>
<td>1041</td>
<td>PPEG370</td>
</tr>
</tbody>
</table>
Process Control Database Updates (Router Tables)

Note that the tables described below must be updated in the following order due to referential integrity.

**UC0CFN Table**

A specific transaction from Release 1325 defined a value of ‘I’ for the CFN_FUNCTION_TYPE under Subsystem ‘HR’ and Function ID ‘IHTX’ on the UC0CFN Table.

To trigger the Edit Request logic in the main section of program PPWIHTX, the value for the CFN_FUNCTION_TYPE will be changed to ‘S’.

**UC0PFF Table**

The logical Aid Function of ‘CANCEL-DOCW4’ and ‘GENDOC-DOCW4’ will be defined in the UC0PFF Table under Subsystem ID ‘HR’.

**UC0PFK Table**

The PF Key values of ‘2’ (Cancel), ‘5’ (GenDoc) and ‘9’ (Jump) will be defined in the UC0PFK under Subsystem ID ‘HR’ and ‘Detail Function ‘IHTX’.
RDO (Resource Definition On-line)

Batch RDO transactions will be created to update the on-line CSD for the following objects:

**Programs**
- PPEC730
- UCTAXMLC
- UCTAXMLR
- UCTAXDOC

**Transaction**
- T005
Attachments

**W-4/DE4 Audit Report**

**Report Date Range:** January 01, 2000 to January 31, 2001

<table>
<thead>
<tr>
<th>Employee Name</th>
<th>W-4 Data</th>
<th>DE4 Data</th>
</tr>
</thead>
<tbody>
<tr>
<td>ALU, BOB</td>
<td></td>
<td></td>
</tr>
<tr>
<td>555-55-5022 / 000050022</td>
<td>S 002 200.00 12/20/00 S 001 000 150.00 12/20/00</td>
<td>PPS12/20/00 PAYJXQ</td>
</tr>
<tr>
<td></td>
<td>S 002 100.00 12/06/00 S 001 0000 50.00</td>
<td>PPS12/06/00 PAYPCW</td>
</tr>
<tr>
<td>ANDERSON, WILLIAM G</td>
<td></td>
<td></td>
</tr>
<tr>
<td>777-00-0022 / 777555022</td>
<td>S 008 0.00 01/11/01 S 003 004 0.00 01/11/01</td>
<td>PPS01/11/01 PAYPCW</td>
</tr>
<tr>
<td>ASSOC LIBR TEMP STAT, ACAD</td>
<td></td>
<td></td>
</tr>
<tr>
<td>551-09-0091 / 000000091</td>
<td>M 010 34.22 12/12/00 S 033 125 125.00 12/13/00</td>
<td>PPS12/13/00 PAYUSR1</td>
</tr>
<tr>
<td></td>
<td>M 010 34.22 12/12/00 S 033 125 0.00 12/11/00</td>
<td>PPS12/12/00 PAYUSR1</td>
</tr>
<tr>
<td></td>
<td>S 001 0.00 12/06/00 S 033 125 0.00 12/11/00</td>
<td>PPS12/11/00 PAYUSR1</td>
</tr>
<tr>
<td></td>
<td>S 001 0.00 12/06/00 H 033 000 0.00 12/06/00</td>
<td>PPS12/06/00 PAYUSR1</td>
</tr>
<tr>
<td></td>
<td>S 001 555,555.00 12/05/00 S 001 000 0.00</td>
<td>PPS12/05/00 PAYUSR1</td>
</tr>
<tr>
<td></td>
<td>S 000 555,555.00 12/05/00 000 000 0.00</td>
<td>PPS12/05/00 PAYUSR1</td>
</tr>
<tr>
<td>BALDUCCI, Guido</td>
<td></td>
<td></td>
</tr>
<tr>
<td>875-66-5777 / 000050090</td>
<td>M 004 5,555.00 12/06/00 M 001 003 0.00 12/05/00</td>
<td>PPS12/06/00 PAYPCW</td>
</tr>
<tr>
<td></td>
<td>M 004 5,555.00 12/05/00 M 001 003 0.00 12/05/00</td>
<td>PPS12/05/00 PAYPCW</td>
</tr>
<tr>
<td></td>
<td>S 007 5,555.00 12/05/00 S 003 005 0.00 12/05/00</td>
<td>PPS12/05/00 PAYPCW</td>
</tr>
</tbody>
</table>

**Total Number of Employees Reported:** 3

**Total Number of History Records Selected:** 25