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DSD - Section 18



CMIPS

D-4.2-03 – IHSS CMIPS Detailed System Design (DSD) (R2025.03.01) Section 18

Version 1.0

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- DSD 18/Payroll – Tax and Contribution/Business Class Definitions

DSD 18/Payroll - Tax and Contribution

This document provides a high-level view of the CMIPS solution. CMIPS utilizes the CGI Advantage® Commercial Off-the-Shelf (COTS) Human Resource and Payroll and Financial packages to satisfy the Client payroll and fund source requirements.

DSD 18/Payroll – Tax and Contribution/Payroll Tax and Contribution Management Topic Area

This document describes the design and capabilities of CMIPS Payroll – Tax and Contribution Management.

DSD 18/Payroll – Tax and Contribution/Business Process

The payroll component handles tax withholding (deductions) and contributions based on an employee's pay during Gross-to-Net (GTN) processing. Payroll calculates the tax, adjusts the employee's net pay accordingly, stores tax data for future reporting, and passes the appropriate information about the government agency (vendor) to the State Controller's Office (SCO). Payment can be made as either a warrant check or an electronic funds transfer (EFT).

A key differentiation of tax includes the following:

Tax Withholding – An amount of tax withheld from the employee's pay: These include the employee's share of Federal Insurance Contributions Act (FICA) and Medicare, State Disability Insurance (SDI), and State/Federal personal income tax.

Tax Contribution – An amount of tax contributed by the employer on behalf of the employee: These include the employer's share of FICA and Medicare, federal and state unemployment tax, and the state Employment Training Tax (ETT).

CMIPS has Individual Provider (IP) and Recipient tax requirements stipulating that in addition to the typical taxes of federal, state, FICA and Medicare, CMIPS must also process Federal Unemployment Tax Act (FUTA), State Unemployment Insurance (SUI), ETT and SDI. Additionally, there are specific FICA and Medicare requirements that apply only to the CMIPS project's household IPs.

CMIPS allows a Provider to have multiple service relationships with Recipients, which may result in multiple taxable earning and funding sources. Each Recipient/Provider relationship is entered as a primary appointment and there can be multiple appointments for a single relationship if different pay types are being used. For example, a Recipient set up for Advance Pay and restaurant meals will have two (2) appointments. For each Recipient case, a unique Taxing Entity record will be created at the Recipient level. The Taxing Entity record identifies the appointment's funding source and creates a link between the Provider (employee) and Recipient (employer) tables that establish rules for tax withholding and contributions.

The following process diagram (Figure 1) describes the overall CMIPS process flow from a Payroll perspective. It describes the interaction between the Recipient and IP, County staff, CMIPS Application, and interaction with other external agencies, such as SCO, Employment Development Department (EDD), and other taxing entities.

The CMIPS II overview diagram helps to map the business functions described in this document. Within the Payroll – Tax and Contribution Management track and topic area, the following business functions, all of which relate to Figure 1, boxes 13/19d, 14 and 14b, will be addressed to satisfy the requirements:

- Tax Setup and Maintenance
- State Tax Processing
- Federal Tax Processing
- Tax Reporting
- Tax Adjustments

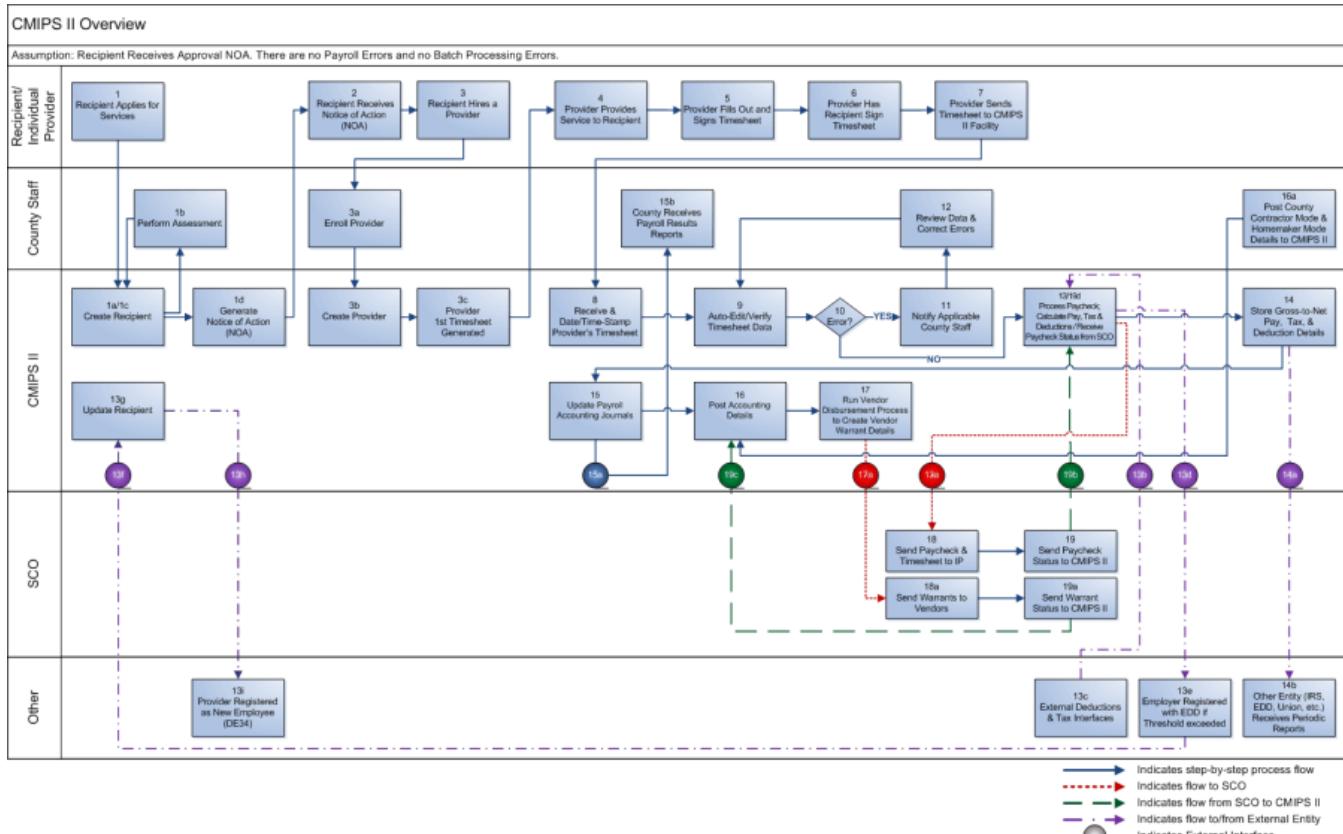


Figure – CMIPS II Overview

DSD 18/Payroll – Tax and Contribution/Business Process /Business Process Functions

DSD 18/Payroll – Tax and Contribution/Business Process /Business Process Functions – Tax Set Up and Maintenance

CI	Document Name
CI-69279 - DSD BF Tax Set Up Maintenance IMPLEMENTED	DSD_BF_Tax_Set_Up_Maintenance.doc

The CMIPS payroll component is delivered with all applicable system and table settings (tax plans, types and amounts, etc.) pre-configured.

During payroll processing, CMIPS withhold appropriate taxes from the Provider's pay and calculates required contributions to be made on behalf of the employee. Providers and Recipients will be auto-enrolled in the appropriate employment tax programs. CMIPS is configured so that, by default, Providers are exempt from federal and state income tax withholding. Contractor input of W-4/DE-4 provides the data to perform the necessary calculations for income tax.

To perform these tasks, the payroll component of CMIPS requires the setup of deduction/benefit types, deduction/benefit plans and an effective date for each tax withholding and contribution. The deduction/benefit types and plans are established in the system prior to entering employees. The different types of deductions related to tax processing and configured in CMIPS are outlined below:

Deductions – Elective taxes such as DIEC, Federal Income Tax (FIT) and State Personal Income Tax (PIT) are configured as deductions.

Employee Fringe Benefit Deductions – Employee-paid taxes such as SDI, FICA and Medicare are configured as employee fringe benefit deductions.

Employer Fringe Benefit Deductions (Contributions) – Employer-paid taxes such as SUI, ETT, FUTA and the employer portion of FICA and Medicare are configured as employer-paid fringe benefits.

Auto-enrollment

Recipients and Providers are considered household employers and employees, and are auto-enrolled in the employment tax programs listed below as "deductions" (employee taxes) and "fringe benefits" (employer taxes). Participation depends on the Recipient/Provider relationship (e.g., family member, domestic partner, etc.) as well as established minimum/maximum earnings thresholds.

The following programs are not auto-enrolled: DIEC is optional for otherwise SDI-exempt Providers, such as family members or domestic partners. The withholding of state and federal income tax is optional and dependent on the submission of a W-4/DE-4 form by an eligible Provider.

Table – Summary of Taxes by Relationship

Summary of Taxes by Relationship	
Individual Provider	
Employee Deductions: State Disability Insurance (SDI) Social Security Tax (FICA) Medicare Tax (MEDI)	Employer Contributions: Employment Training Tax (ETT) State Unemployment Insurance (SUI) Federal Unemployment Tax (FUTA) Social Security Tax (FICA) Medicare Tax (MEDI)
Domestic Partner Provider	
Employee Deductions: Social Security Tax (FICA) Medicare Tax (MEDI)	Employer Contributions: Federal Unemployment Tax (FUTA) Social Security Tax (FICA) Medicare Tax (MEDI)
Family or Child Provider (child not necessarily a family member of the Recipient)	
Employee Deductions: None	Employer Contributions: None
Juvenile Provider (Age 18 – 21)	
Employee Deductions: State Disability Insurance (SDI)	Employer Contributions: Employment Training Tax (ETT) State Unemployment Insurance (SUI)
Advance Pay Recipient	
Employee Deductions: State Disability Insurance (SDI) Social Security Tax (FICA) Medicare Tax (MEDI)	Employer Contributions: None

Advance Pay Provider	
Employee Deductions: State Disability Insurance (SDI) Social Security Tax (FICA) Medicare Tax (MEDI)	Employer Contributions: Employment Training Tax (ETT) State Unemployment Insurance (SUI) Federal Unemployment Tax (FUTA) Social Security Tax (FICA) Medicare Tax (MEDI)
Advance Pay Domestic Partner Provider	
Employee Deductions: Social Security Tax (FICA) Medicare Tax (MEDI)	Employer Contributions: Federal Unemployment Tax (FUTA) Social Security Tax (FICA) Medicare Tax (MEDI)
Advance Pay Family or Child Provider (child not necessarily a family member of the Recipient)	
Employee Deductions: None	Employer Contributions: None
Advance Pay Juvenile Provider (Age 18 – 21)	
Employee Deductions: State Disability Insurance (SDI)	Employer Contributions: Employment Training Tax (ETT) State Unemployment Insurance (SUI)

For all taxes, system rates, minimum and maximum wages thresholds, and other special rules will be updated as released by the governing agency.

The transactions in the payroll component that are used to manage tax and contribution processing are described below. The transactions are configured during initial system set-up and maintained by the Contractor as needed.

Category (CATG)

This transaction defines and identifies types of categories (such as federal income tax [FEDTX]) for tax deduction processing events. The category is also used for reporting purposes, as well as check printing.

Pay and Leave Event (EVNT)

This transaction defines and identifies pay events for the employer portion of taxes. An example is FUTA tax, which does not have an employee side but will be provided on behalf of the employer as a fringe benefit.

Deduction Type (DEDT)

This transaction defines the types of deductions available for employees by category as set up on CATG, such as FEDTX. It is also used to establish the processing order of each deduction.

Deduction Plan (DPLN)

This transaction defines deduction plans and variations for the deduction types on DEDT, such as whether to allow the inclusion or exclusion of specific Pay or Deduction IDs. Global rates are maintained at the plan level, including Federal and State flat tax rates.

Include/Exclude Pay Categories (DPPC)

This transaction defines and maintains the codes for the pay categories that are included or excluded from the deduction type and plan listed on DPLN.

Tax Marital Status (TAXM)

This transaction defines the codes that identify possible marital statuses (e.g., single, married, head of household) employees can claim on tax forms. Both the Employee Tax Parameters (TAX) and Tax Parameters (TAXP) pages validate against the tax marital status.

Tax Class (TAXC)

This transaction identifies the income tax classes – exempt, Federal only, State only, or Federal and State – that apply to all employees within that class.

Tax Parameters (TAXP)

This transaction defines the tax rules for each deduction type and plan by tax marital status. For example, FEDTX will have one (1) entry for each marital status of single, married and head of household, with an annual exemption as defined by the governing agency.

Marginal Tax Rates (DEXD)

This transaction establishes the marginal tax brackets (rates) for the deduction types and plans on TAXP. For each tax marital status and income level, the base tax amount and tax rate percent are identified. Along with TAXP, this transaction drives the tax calculation during GTN.

FICA Class (FICL)

This transaction defines the FICA/Medicare tax class that is indicated on the TAX document. Either both FICA and Medicare will be paid, or an employee is exempt from both. For example, IPs are subject to both FICA and MEDI, while Family or Child Providers are not.

Tax Reporting Description (TAXD)

This transaction defines the descriptions for each report ID (e.g., W-2, 941). These report items are used to group categories on the Tax Reporting (TAXR) page for reporting purposes.

Tax Reporting (TAXR)

This transaction defines which pay and deduction categories are included or excluded during such reporting processes as W-2s, Quarterly Summary Reporting, etc.

Employer Fringe Benefits Type (EFBT)

This transaction defines fringe benefit type classes (employment taxes such as ETT and FICA) for which the employer has an assigned contribution, and the deduction processing order for each deduction type.

Employer Fringe Benefits Plan (EFBP)

This transaction defines benefit plans and variations for the benefit types on EFBT, including whether to allow the inclusion or exclusion of specific Pay or Deduction IDs.

Employer Fringe Include/Exclude Deduction Category (EFDC)

This transaction defines and maintains the codes for the deduction categories that are included or excluded from the deduction type and plan listed on EFBP.

Employer Fringe Include/Exclude Pay Category (EFPC)

This transaction defines and maintains the codes for the pay categories that are included or excluded from the deduction type and plan listed on EFBP.

Benefit Type Class (BTCL)

This transaction provides the highest level of aggregation for benefit programs; for CMIPS, all benefit types are configured under a single Benefit Type Class of 'CMIPS'.

Employee Fringe Benefit (BENT)

This transaction defines fringe benefit type classes (such as SDI and FICA) for which the employee has an assigned contribution (even if the assigned contribution = \$0,) and the deduction processing order for each deduction type.

Employee Fringe Benefit Plan (BENP)

This transaction defines benefit plans and variations for the benefit types on EFBT, including the Benefit Plan Class (such as IP, FAM, CH.)

Benefits Include/Exclude Deduction Category (BPDC)

This transaction defines and maintains the codes for the deduction categories that are included or excluded from the deduction type and plan listed on BENP.

Benefits Include/Exclude Pay Category (BPPC)

This transaction defines and maintains the codes for the pay categories that are included or excluded from the deduction type and plan listed on BENP.

Deduction Policy (DPOL)

This transaction defines the codes that identify all deduction policies used by CMIPS during employee deduction processing. The Deduction Policies defined on DPOL are referenced on BPLT.

Benefits Policy Type (BPLT)

This transaction identifies the valid benefit type and plan combinations included in a particular benefit policy (using data from DPOL, BENT and BENP.) It is possible for a benefit policy to include a benefit type and all of its associated benefit plans or only certain benefit plans. BPLT allows an individual to be auto-enrolled in a benefit policy.

Business Process Flow - Tax Set Up & Maintenance

This section is not applicable for Tax and Contribution Management.

Initiation/Triggers, Pre-Conditions and Post Conditions

This section is not applicable for Tax and Contribution Management.

Process/Screen Flow

This section is not applicable for Tax and Contribution Management.

DSD 18/Payroll – Tax and Contribution/Business Process /Business Process Functions – State Tax Processing

CI	Document Name
 CI-69264 - DSD BF State Tax Processing IMPLEMENTED	DSD_BF_State_Tax_Processing.doc

SUI and ETT

For SUI and ETT, taxes are not to be collected until the Recipient's total wages paid to all Providers exceed a government-mandated threshold. Once the wage minimum has been met, taxes must be collected against all wages from the first dollar. To support these rules, a special deduction routine will be used: the CMIPS Special Routine.

Employer Wage Minimum Threshold

SUI and ETT are collected after the sum of employer wages exceeds a certain government-mandated minimum. These taxes are not to be contributed based on employee's wages until the wage minimum has been met. The system will determine whether or not the minimum has been reached using the CMIPS Employer table, which will store the total subject wages on a quarterly basis for each employer.

CMIPS Special Routine Parameters

The routine takes two (2) parameters: the tax type ("1") and the Employer Subject Gross minimum threshold ("2"). The first parameter identifies the tax type and allows the system to store the tax properly on the FICA and CMIPS Employer tables. The second parameter designates the employer wage minimum threshold. Once the total wages paid by the employer exceed the minimum threshold, the tax is calculated and contributed (and catch-up calculations may be assessed, to be addressed in a later section).

For SUI tax rate of 3.4 percent with a minimum threshold of \$1,000, SUI-specific options on the Benefit Plan are set up as follows:

Deduction Rate:	0.034
Amount/Percent 1:	2 (SUI)
Amount/Percent 2:	1,000.00

For ETT tax rate of 0.1 percent with a minimum threshold of \$1,000, ETT-specific options on the Benefit Plan are set up as follows:

Deduction Rate:	0.001
Amount/Percent 1:	3 (ETT)
Amount/Percent 2:	1,000.00

For a timesheet calculated when the Recipient's wages paid thus far in the quarter are \$800 (and not subject to the rolling window as specified below), the subject gross wages fall below the \$1,000 specified in the parameter, so no taxes are assessed.

Catch-up Tax Contribution

Taxes processed will trigger catch-up tax contribution when Recipients cross the wages paid minimum. GTN for each Provider's pay will calculate these catch-up contribution amounts so that SUI and ETT taxes are correct for the total wages paid.

For example, a new Recipient pays a Provider \$900 in wages; because total subject wages are less than the minimum threshold, SUI and ETT taxes are not calculated. If the Provider submits a timesheet for \$400 in the same calendar quarter, the Recipient's total quarterly subject wages paid of \$1,300 exceed the minimum threshold of \$1,000 specified in the parameter. The taxes calculated against \$400 gross wages would be \$13.60 for SUI and \$0.40 for ETT, but taxes must be calculated for the entire \$1,300, as the Recipient's subject gross wages now exceed the \$1,000 wage minimum. Because of the catch-up process, the total taxes will be calculated against the total \$1,300 wages, so the SUI tax would be \$44.20 and \$1.30 for ETT.

Additionally, a catch-up batch job will be used at quarter-end to process all employer taxes for employees who were not processed once another employee working for that employer broke the threshold. This will allow the employer tax expense to sync with the taxes payable for SUI and ETT for each quarter. The CMIPS Quarterly Catch-up Tax batch job creates and submits One-Time Pay (OTPAY) and Supplemental Pay Trigger (STRG) documents to process these taxes during supplemental GTN.

Rolling Window

If an employer has not met the minimum threshold in a given quarter, the employer may still be subject to a tax contribution: a rolling window rule exists for ETT and SUI so that once the tax has been collected in a quarter, it is collected in all future quarters for the current and following calendar years.

For example, if a Recipient paid wages in excess of \$1,000 in the second quarter of 2010, then the system will apply SUI and ETT tax collection /withholding to all wages paid in the next two (2) quarters of 2010, as well as all quarters in 2011, regardless of whether or not the wages in any of those six (6) quarters following Q2 2010 reached the \$1,000 employer aggregate minimum.

SDI

SDI tax is withheld from a Provider's wages from the first dollar and refunds are issued if the subject wages fail to reach the specified minimum. Once the wage minimum threshold is met, Provider wages are subject to SDI for the remainder of the current year and the following calendar year.

DIEC (Elective SDI)

Exempt family members may elect to enroll in elective disability insurance. The DIEC data setup and collection/withholding processes are similar to SDI. Funds are withheld from the first dollar and withholding ends when wages reach the same maximum cap as SDI.

Provider enrollment in DIEC is entered directly by county users in the Case Management application. Once enrolled, coverage must continue for the remainder of the current year and the following two calendar years. The withholding of DIEC tax will begin with the first pay period following the DIEC enrollment effective date. As with other document-enrolled deductions, a timesheet for a pay period prior to the effective date will not result in withholding. Coverage is automatically terminated if the Provider is no longer eligible, i.e. a child Provider turning 18 years of age or the Provider is divorced from the Recipient and is no longer considered an exempt family member.

Note: DIEC is not subject to a wage minimum threshold or quarterly refunds.

SDI Refunds

In any quarter that a Recipient's total subject wages fail to exceed the specified minimum for SDI – and if the threshold was not previously met in the two-year rolling tax window - it is necessary to refund the withholdings to the individual.

For SDI, the CMIPS II Employee Tax Refund batch job searches the CMIPS II Employer table in order to determine which Recipients' total wages paid failed to reach the minimum (\$750.) In those cases where taxes withheld are to be refunded, the job creates One-Time Deduction (OTDED) and STRG documents to transfer the funds back to employees. The Deduction Plan/Type used on the documents is excluded from taxation so as to prevent double-counting of the funds. A Site Parameter setting of "SDI REFUND PLAN" is used to specify the Benefit Plan code to be used on one-time deduction documents.

After creating one-time deduction documents, the job will update the Refund Status for the relevant quarters for each Provider.

For example, in the third quarter of 2010, a Provider received wages of \$250. The Provider was the only individual who provided services for the Recipient, so the total quarterly wages paid to all Providers are also \$250. The taxes withheld were \$2.75. The refund job is run for SDI in Q3 2010. The system finds that the Recipient fell under the wage minimum threshold for refunds and creates an OTDED document to refund the \$2.75 in taxes previously withheld. The OTDED document is dated with the date of the job run and uses a Deduction Plan designated in SPAR. This Plan is excluded from taxes so that the employee is not double-taxed on the refund check.

Advance Pay Recipients

Advance Pay Recipients have SDI taxes estimated and withheld from their paychecks if identified as linked to a non-familial Provider(s); DIEC taxes may be estimated and withheld if identified as linked to a familial Provider enrolled in elective SDI. While these taxes are not reported to any State agency (rather, the taxes assessed on reconciliation are reported), they are stored on the FICA and CMIPS II Employer pages for record keeping and audit trail purposes.

Personal Income Taxes

Per the State of California Household Employer's Guide for 2010 (Publication DE8829), the withholding of PIT is not required for household employees; therefore, PIT is not automatically withheld during payroll processing. PIT is withheld only if the provider enrolls with a W-4/ DE-4; PIT is not withheld from Advance Pay payments. If enrolled, State income taxes are withheld from the pay every pay period based on the amount of wages paid and the number of withholding allowances claimed by the employee. The withholding of PIT will begin with the first pay period following the enrollment effective date. As with other document-enrolled deductions, a timesheet for a pay period prior to the effective date will not result in withholding.

CMIPS uses the "Method B – Exact Calculation Method" to calculate PIT for original timesheets, supplemental timesheets, and payment corrections. The TAXP and DEDX transactions are populated with annual marginal tax rate table information for this method of tax calculation. A flat tax rate will be used to calculate PIT for special transactions, with this rate stored on the State tax deduction plan.

Based on a ruling by the Internal Revenue Service (IRS) wages earned by In-Home Supportive Services (IHSS) providers who live with the recipient of those services are not considered gross income for the purpose of Federal income tax withholding or reporting. The State of California has determined that the ruling also applies to State income tax withholding and reporting. The wages of these providers are considered to be "difficulty of care" payments, and thus are excludable from state gross wages similarly as are foster care payments for the care and supervision of a child. The 'live-in' status will be controlled by self-certification indication passed to payroll from Case Management. Only wages paid at the time the self-certification indication is set will be considered excluded from state income. These wages remain subject to withholding and reporting for Disability Insurance (DI), State Unemployment Insurance (SUI) and Employment Training Tax (ETT) taxes.

Documents

Employee Tax Parameter (TAX) transactions are input by contractors processing W-4, DE-4 and W-5 forms, while the Miscellaneous Deduction (MISC) document is used to enroll a Provider in elective SDI (DIEC.). The Benefits Enrollment (ENRL) document is created by the internal interface process to override default ETT/SUI rates.

Employee Tax Parameters (TAX)

This document records information about an individual employee's tax class, tax deductions, tax status, and tax allowance for voluntary enrollment in State and Federal income tax (including additional tax dollar amount). Contractors input this information from the employee's W-4/DE-4 forms.

Miscellaneous Deduction (MISC)

This document is used to record and view information pertaining to deductions such as elective SDI (DIEC).

Benefits Enrollment (ENRL)

This document is used to enroll Providers in SUI and ETT taxes at the non-default rates for the Recipient as provided by EDD.

Supplemental Trigger (STRG)

This document is created and submitted along with the ENRL document so that retroactive SUI & ETT tax rate changes are calculated in the next daily payroll run.

This section describes the business process functions that apply to the track and topic area.

Process/Screen Flow

CI	Document Name
 CI-116616 - DSD BP SDI Refunds IMPLEMENTED	DSD_BP_SDI_Refunds.doc

The diagram below outlines the screen flow process for SDI Refunds.

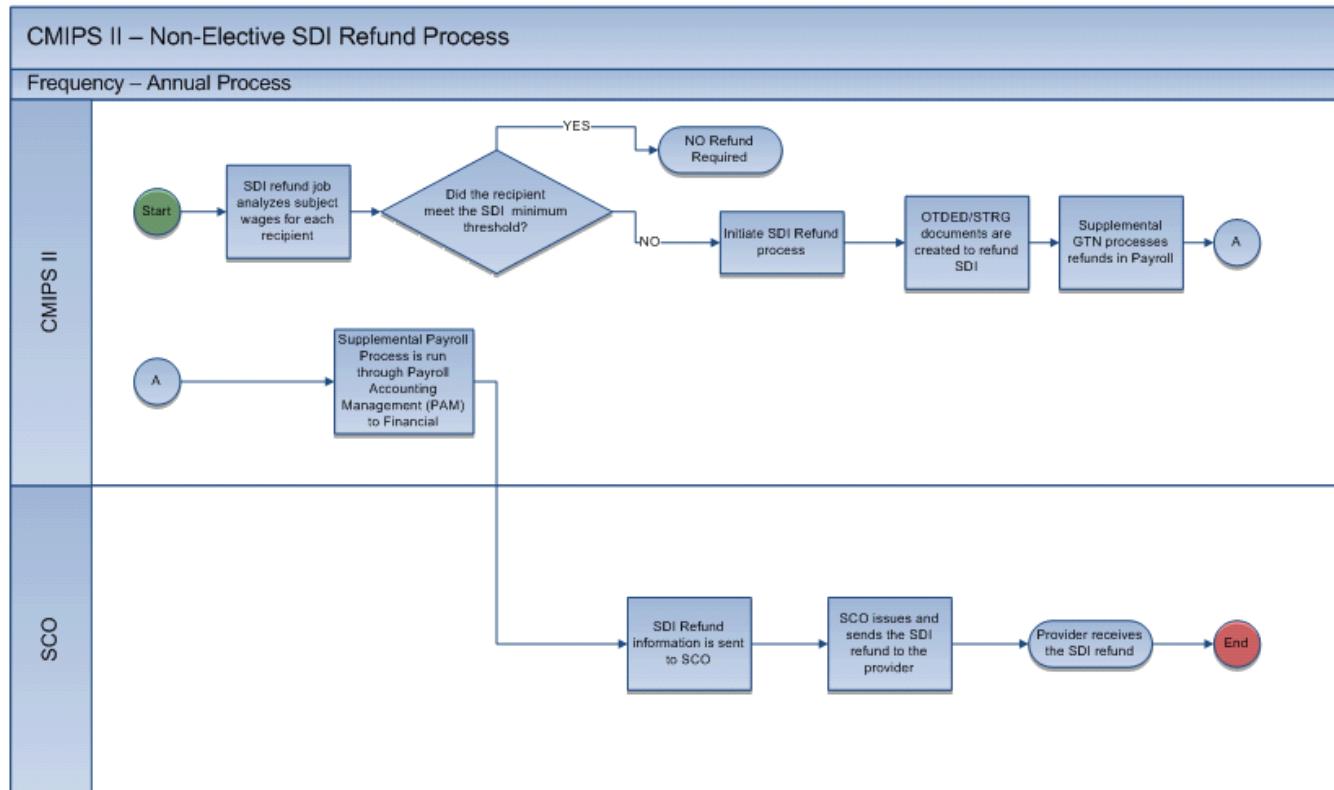


Figure – SDI Refunds

CI	Document Name
 CI-116667 - DSD BP Withholdings for Income Tax IMPLEMENTED	DSD_BP_Withholdings_for_Income_Tax.doc

The diagram below outlines the screen flow process for Withholdings for Income Tax.

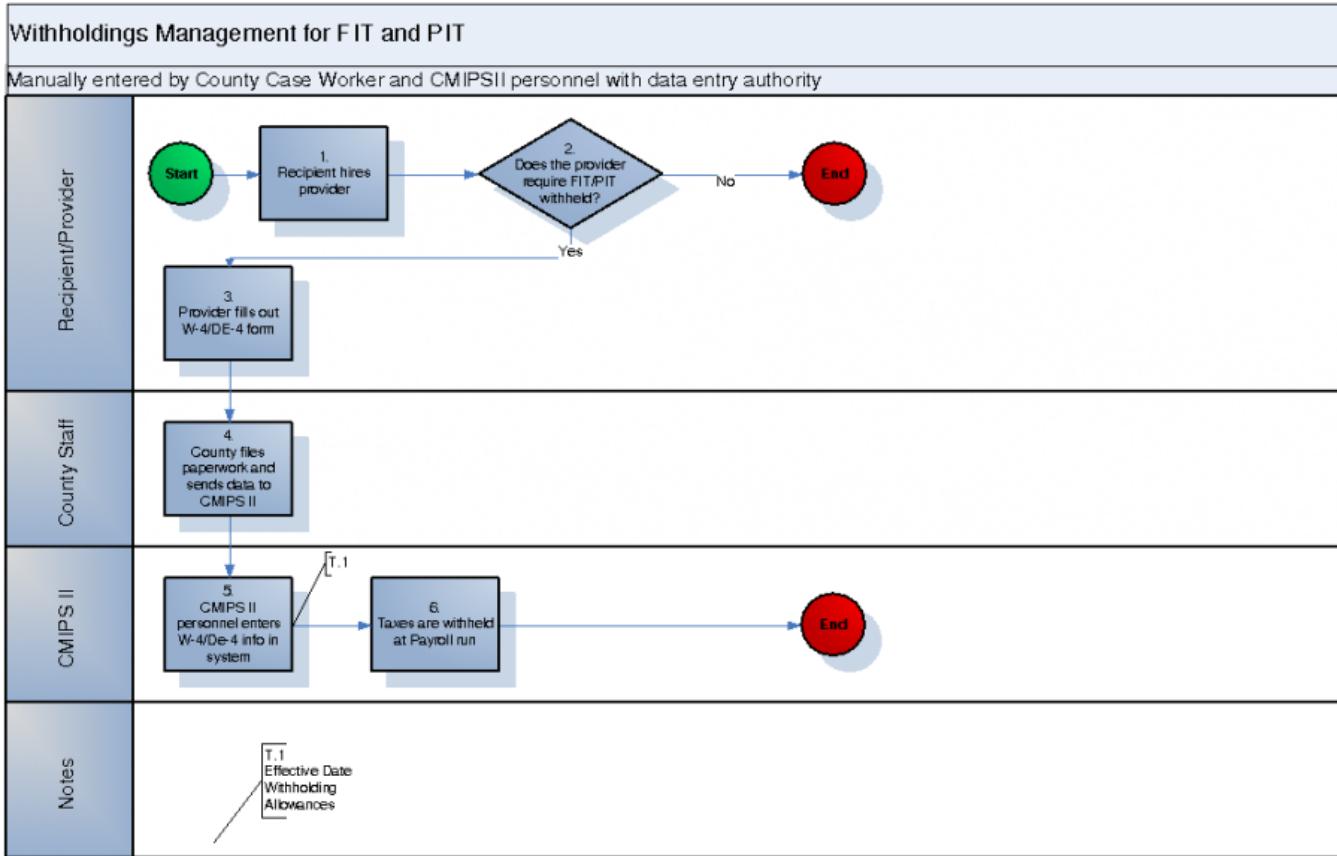


Figure – Withholdings for Income Tax

Business Process Flow – State Tax Processing

This section is not applicable for Tax and Contribution Management.

Initiation/Triggers, Pre-Conditions and Post-Conditions

This section is not applicable for Tax and Contribution Management.

DSD 18/Payroll – Tax and Contribution/Business Process /Business Process Functions – Federal Tax Processing

CI	Document Name
 CI-69274 - DSD BF Federal Tax Processing IMPLEMENTED	DSD_BF_Federal_Tax_Processing.doc

Federal Unemployment Tax (FUTA)

FUTA tax is calculated in a manner similar to SUI and ETT; taxes are not to be collected until the Recipient's total wages paid to all Providers exceed a mandated threshold. Subject wages are all wages paid to those who are considered IPs (i.e., IPs and registered domestic partners). Subject wages do not include family members, as defined by IRS Publication 15. Once the wage minimum has been met, taxes must be collected against all wages from the first dollar. To support these rules, a special deduction routine is used – the CMIPS II Special Routine (described below).

Employer Wage Minimum Threshold

FUTA taxes are all collected after the sum of employer wages exceeds a certain government-mandated minimum. These taxes are not to be contributed based on employee's wages until the wage minimum has been met. The system will determine whether or not the minimum has been reached using the CMIPS II Employer table, which stores the total subject wages on a quarterly basis for each employer.

CMIPS Special Routine Parameters

The routine takes two (2) parameters: the tax type ("1") and the Employer Subject Gross minimum threshold ("2"). The first parameter identifies the tax type and allows the system to store the tax properly on the FICA and CMIPS II Employer tables. Each line is tagged with the tax type (using the FICA ID field). The first parameter designates the employer wage minimum threshold. Once the total wages paid by the employer exceeds the minimum threshold, the tax is calculated and contributed (and catch-up calculations may be assessed, to be addressed below).

For FUTA tax rate of 0.8 percent and minimum threshold of \$1,000, FUTA-specific options on the Benefit Plan for Providers with no familial relationship are set up as follows:

Deduction Rate:	0.008
Amount/Percent 1:	1 (FUTA)
Amount/Percent 2:	1,000.00

For FUTA tax rate of 6.2 percent and minimum threshold of \$1,000, FUTA-specific options on the Benefit Plan for domestic partner Providers are set up as follows:

Deduction Rate:	0.062
Amount/Percent 1:	1 (FUTA)
Amount/Percent 2:	1,000.00

Catch-up Tax Contribution

Taxes processed trigger a "catch-up" tax contribution when Recipients cross the wages paid minimum. GTN calculates these catch-up contribution amounts so that FUTA taxes are correct for the total wages paid. Additionally, a catch-up batch job is used at quarter-end to process all employer taxes for employees who were not processed once another employee working for that employer who breaks the threshold. This will allow the employer tax expense to sync with the taxes payable to the IRS, such as FUTA for each quarter. The CMIPS II Quarterly Catch-up Tax job creates and submits One-Time Pay (OTPAY) and Supplemental Pay Trigger (STRG) documents to process these taxes during supplemental GTN.

Rolling Window

If an employer has not met the minimum for collection, the employer may still be subject to a tax contribution. A rolling window rule exists for FUTA such that once the tax has been collected in a quarter, it will be collected in all future quarters for the current and following calendar years.

Social Security (FICA) and Medicare (MEDI)

Social Security and Medicare taxes are calculated and collected in a manner similar to SDI. The taxes are collected from the first dollar and refunds are issued at the end of the calendar year if the subject wages fail to reach the federally-specified minimum thresholds.

CMIPS shall compute FICA/Medicare for earnings for a Provider/Recipient relationship within a single case. Subject wages are all wages paid to those who are considered IPs (i.e., regular Providers and registered domestic partners). Subject wages do not include family members, as defined by IRS Publication 15.

FICA/Medicare Refunds

In any year that a Recipient's total subject wages fail to exceed the specified minimum for FICA/Medicare, it is necessary to refund the withholdings to the individual.

For FICA/Medicare refunds, the CMIPS II Employee Tax Refund batch job searches the FICA transactions in order to determine for each Recipient /Provider relationship by case in which individual's total wages received failed to reach the minimum. The job uses the Alternate ID of records in order to ensure that those individuals who have multiple Employee IDs (individuals will have one Employee ID per employer) have their total wages taken into account when checking that the wage minimum is met. In those cases where taxes withheld are to be refunded, the job creates OTDED and STRG documents to transfer the funds back to employees. A Site Parameter setting of "FICA REFUND PLAN" is used to specify the Benefit Plan code used on one time deduction documents. After creating one-time deduction documents, the job updates the Refund Status for all quarters in the year for each Provider.

Federal Income Taxes

Per the IRS Household Employer's Guide (Publication 926) the withholding of FIT is not required for household employees; therefore, FIT is not automatically withheld during payroll processing. FIT is withheld only if the provider enrolls with a W-4; FIT is not withheld from Advance Pay payments. If enrolled, FIT is withheld from the pay every pay period based on the amount of wages paid and the number of withholding allowances claimed by the employee. The withholding of FIT will begin with the first pay period following the enrollment effective date. As with other document-enrolled deductions, a timesheet for a pay period prior to the effective date will not result in withholding.

CMIPS uses annual marginal tax rate tables to calculate FIT for original timesheets, supplemental timesheets, and payment corrections. The TAXP and DEDX transactions are populated with tax rate information for this method of tax calculation. A flat tax rate will be used to calculate FIT for special transactions, with this rate stored on the Federal tax deduction plan.

Based on a ruling by the Internal Revenue Service (IRS) wages earned by In-Home Supportive Services (IHSS) providers who live with (live-in) the recipient of those services are not considered gross income for the purpose of Federal income tax withholding or reporting. The wages of these providers are considered to be "difficulty of care" payments, and thus are excludable from federal gross wages similarly as are foster care payments for the care and supervision of a child. The 'live-in' status will be controlled by self-certification indication passed to payroll from Case Management. Only wages paid at the time the self-certification indication is set will be considered excluded from federal income. These wages remain subject to withholding and reporting for Social Security, Medicare and Federal Unemployment (FUTA) taxes.

Advance Pay Recipients

If the Provider is unknown or it is known that the Provider is not a qualified family member, Advance Pay Recipients will have their Social Security and Medicare taxes estimated and withheld from their payments. While these taxes are not reported to any federal agency (rather, the taxes assessed on reconciliation are reported), they are stored on the FICA page for record keeping and audit trail purposes.

Process/Screen Flow

CI	Document Name
 CI-116666 - DSD BP FICA Refunds IMPLEMENTED	DSD_BP_FICA_Refunds.doc

The diagram below outlines the screen flow process for FICA Refunds.

CMIPS II – FICA Refund Process

Frequency – Annual Process

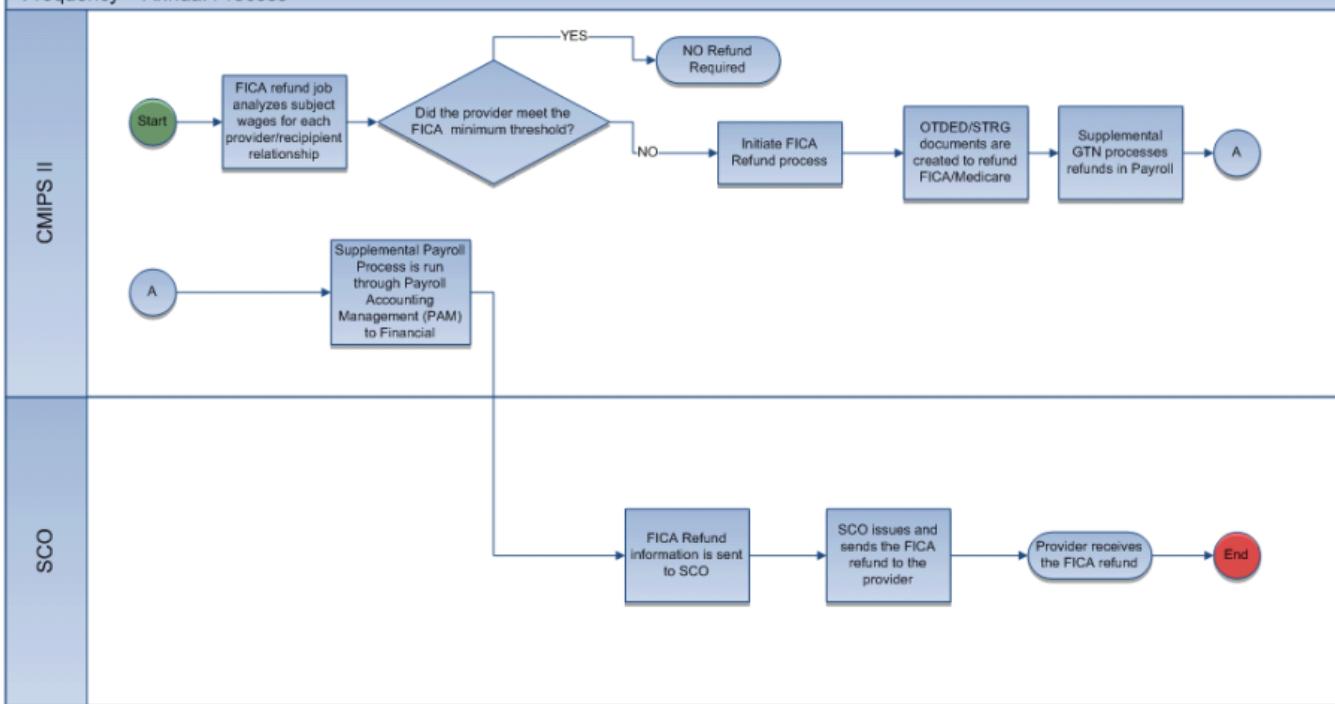


Figure – FICA Refunds

Business Process Flow – Federal Tax Processing

This section is not applicable for Tax and Contribution Management.

Initiation/Triggers, Pre-Conditions and Post-Conditions

This section is not applicable for Tax and Contribution Management.

DSD 18/Payroll – Tax and Contribution/Business Process /Business Process Functions – Tax Reporting

CI	Document Name
 CI-69267 - DSD BF Tax Reporting IMPLEMENTED	DSD_BF_Tax_Report.doc

The FICA and CMIPS II Employer FICA tables, along with pay and deduction summaries, store and provide sufficient data to generate the quarterly and annual reporting required by State and Federal agencies.

State Reporting

State filings forms use the recipient's State Tax ID, which is stored on the Taxing Entity record for all CMIPS recipients. The recipients of program services are considered the employers of record for State tax reporting purposes (PIT, SDI, ETT and SUI). EDD will identify any missing DE 9C and DE 9 returns via the quarterly Forms Delinquencies file. Any discrepancies – such as returns submitted but under a different account number (SEIN) – should be communicated to EDD. For those cases requiring the generation of a DE-9C or DE-9, returns will be generated by the execution of an ad hoc batch job.

Table – State Filings Produced

State Filings Produced by CMIPS	
DE-1	Employer Registration
DE-34	Report of New Employees
DE-9C	Quarterly Wage and Withholding Report
DE-9	Quarterly Reconciliation Statement
DE-88	Payroll Tax Deposit Coupon
Wage Adjustment File	Wage Adjustment Form
Financial Adjustment File	Refund Request

All taxes will be reported to EDD under the recipient's name and an EDD-provided SEIN. If a request has been sent to EDD for a SEIN and the response has not been processed by the date of an EDD job run, then a default SEIN will be used. CMIPS will store no more than two SEINs for one recipient. The two SEIN will be stored in the Payroll system as a concatenated field. The first eight characters will contain the non-DIEC SEIN and the last eight characters will contain the DIEC SEIN (for example, 11111111^22222222).

Process/Screen Flow

This section is not applicable for Tax and Contribution Management.

Federal Reporting

The State of California is the employer of record for 940 and 941 reporting, and each recipient's Taxing Entity record has the same Federal Tax ID. FIT is withheld from the provider using subject wages at a recipient level and W-2s are issued for providers with the recipient as the employer of record.

Table – Federal Tax Reports Produced

Federal Tax Reports Produced by CMIPS	
940	Employer's Annual Federal Unemployment Tax Return
941	Employer's Quarterly Federal Tax Return
W-2	Wage and Tax Statement
W-2C	Wage and Tax Statement Corrected

CMIPS Provider/Recipient Inquiry

To fulfill client needs for an online view of subject wages and taxes by provider/recipient relationship, the CMIPS Provider/Recipient Inquiry page provides a Provider tab and a Recipient tab to view records on the FICA table.

The Provider tab will allow searching by Employee ID, Alternate Employee ID, or Taxing Entity for any quarter or set of quarters. From the tab, a user is able to see all of the relevant fields on the CMIPS Employee table (taxes calculated, taxes withheld, refund status and reporting status).

This inquiry screen fulfills the need for an equivalent to the "W-2 Zero Plug" report.

Business Process Flow – Tax Reporting

This section is not applicable for Tax and Contribution Management.

Initiation/Triggers, Pre-Conditions and Post Conditions

This section is not applicable for Tax and Contribution Management

DSD 18/Payroll – Tax and Contribution/Business Process /Business Process Functions – Tax Adjustments

CI	Document Name
 CI-69273 - DSD BF Tax Adjustments IMPLEMENTED	DSD_BF_Tax_Adjustments.doc

CMIPS automatically adjusts tax withholdings throughout the tax year for all taxing entities when changes in wages and/or exemptions occur. Correcting pay and the associated taxes is accomplished through a series of actions that will be processed through GTN. These actions include the types of adjustment documents described below.

External Adjustment (EADJ)

This document allows for year-to-date pay, deduction and entity (employer and employee) summary adjustments. Pay adjustments are entered in CMIPS to correct the pay event type(s) of wages earned, specifically when the familial relationship between a Recipient and Provider is updated. In addition, deduction adjustments for covered wages are made using the employee and employer contributions deduction type and plan. If multiple subject wages are to be adjusted, multiple entity adjustment lines must be entered since covered wages are maintained separately for each deduction.

One-Time Deduction (OTDED)

A one-time deduction is used to process a deduction correction against a future or pending payment. This is used to catch up on a deduction or to adjust a future payment by the amount specified. An OTDED is created by the Employee Tax Refund job that returns SDI and FICA/Medicare taxes if total subject wages fail to exceed the specified minimum.

One-Time Payment (OTPAY)

This document allows special "one-time only" payments. Unlike permanent pay, one-time payments affect the employee's pay only once. One-time payments can be negative or positive: positive payments increase the employee's gross pay whereas negative payments decrease the employee's gross pay. Payments issued through this page remain on the pending payment table until gross-to-net is run.

Supplemental Pay Trigger (STRG)

This document designates which employees need to be processed during a supplemental Gross-to-Net run. A STRG will be automatically generated by the system during the quarter-end CMIPS Catch Up Tax job.

W-2 Trigger (W2TG)

The W-2 Trigger (W2TG) page allows W-2 forms to be produced for specified employees. This is useful if adjustments are made to an employee's pay after W-2's have been produced or if an employee requests a W-2 form early because of termination. The W-2 Trigger page is used to establish a trigger in the system and, subsequently, generate a supplemental W-2. A W-2 Trigger must be established for each employee for whom a W-2 should be generated in a Supplemental W-2 run.

Business Process Flow – Tax Adjustments

This section is not applicable for Tax and Contribution Management.

Initiation/Triggers, Pre-Conditions and Post-Conditions

This section is not applicable for Tax and Contribution Management.

Process/Screen Flow

This section is not applicable for Tax and Contribution Management.

DSD 18/Payroll – Tax and Contribution/Business Process /Screen Designs

The screens are described in [Recip CM & OS – Payroll within Case Management](#).

Payroll Data Elements

The following data elements are specific to tax and contribution configuration within the Payroll component and have been customized for CMIPS. Refer to Appendix C for Advantage configuration elements.

Sample data is included in the Value column. Refer to the Comments column for additional information regarding the valid choices or business rules for deriving the value. If, in the Advantage Application, fields are shown that are not described on the following transactions, it is to be assumed that they are not used for CMIPS.

The Comments column will start with one (1) of the following five (5) items: Default, Optional, Blank, Required or Rule Driven. These are to be considered when creating a new transaction, and the values might be different for an update transaction.

Use Check Date for Rate

The deduction type tables listed below were customized for CMIPS to include a 'Use Check Date for Rate' indicator. This is used for tax deduction types so that the rate used for tax calculations is the rate as of the date the timesheet was processed, rather than that of the pay period worked.

Table – Deduction Type (DEDT)

CI	Document Name
CI-124523 - DSD CFGN Use Check Date for Rate DEDT IMPLEMENTED	DSD_CFGN_Use_Check_Date_for_Rate_DEDT.doc

Transaction	Field	Value	Source	Comments
DEDT	General Information			
DEDT	Deduction Type	FEDTX	Data Entry	Required Name of the deduction type.
DEDT	Short Description	FEDERAL TAX	Data Entry	Required This field stores the short description of the DEDT.
DEDT	Long Description		Data Entry	Optional This field will default to the Short Description. A lengthier description can be entered if more detail is Required
DEDT	Category	FEDTX	Data Entry	Required Category into which the deduction type is included from the CATG transaction. Must be configured on CATG.
DEDT	From	01/01 /1900	Data Entry	Required Effective date for Deduction Type
DEDT	To		Data Entry	Optional Defaults to 12/31/9999 but can contain date when type is no longer effective.
DEDT	Fringe Pay Type		Data Entry	Rule Driven This field is used to indicate whether the deduction is the liability side of an employer paid fringe. Values are entered for Employee tax deduction types.
DEDT	Deduction Processing Order Number	1	Data Entry	Required Number indicating in which order the deduction is from the pay check.
DEDT	Deduction Acceptance Priority Number	1	Data Entry	Required Number indicating in which order the deduction is "backed out" of the pay check if there are insufficient funds in the check.
DEDT	Deduction Information			
DEDT	Employee vs. Appointment	Appointment	Selected Value	Default Indication as to whether the tax deduction is taken on an Employee or Appointment basis, or both.
DEDT	Deduction Policy Rule	No Restriction	Selected Value	Required For CMIPS, deduction policy rule is set to No Restriction, except for deductions that are taxes.
DEDT	Permanent Deduction Allowed	Uncheck ed	Data Entry	Required Will be unchecked for any deduction that is a onetime deduction only.

DEDT	EFT Allowed	Checkbo x is checked	Data Entry	Optional Check box if collected amount can be transferred electronically to the vendor.
DEDT	Automatic Deduction Termination	Checkbo x is checked	Data Entry	Required
DEDT	Include in Supplemental Pay Cycle	Checkbo x is checked	Data Entry	Required For CMIPS, all deductions are included in supplemental pay cycles.
DEDT	Use Check Date for Rate	Checked	Data Entry	Rule Driven If the deduction is a tax that is calculated against the rate of the payment's processing date, then this should be checked. If the deduction is calculated against the rate of the date worked, then this should be unchecked.
DEDT	Deduction Goal ID	Not Goal Oriented	Selected Value	Rule Driven Most deductions are "Not Goal Oriented." Garnishments, with the exception of support orders, which are usually "Goal Oriented."
DEDT	Goal Type		Selected Value	Rule Driven If Deduction Goal Id is Goal Oriented, a selection must be made.
DEDT	Federal/State Marital Status	Federal	Selected Value	Blank for non-tax deductions Enter the marital status used for the tax deduction
DEDT	Deduction Class ID	Use Marginal Tables	Selected Value	Default All non-tax deductions use "No Special Processing." FICA, Medicare and SDI use 'FICA Deduction.' ETT, SUI and FUTA use 'Individual Employment Taxes.'
DEDT	Recycle Deduction	Uncheck ed	Data Entry	Optional If selected, indicates the deduction should be recycled in a subsequent pay cycle if it has caused a negative net condition and been rejected. If not selected, indicates the deduction should not be recycled
DEDT	Partial Deduction Report	Checked	Data Entry	Optional If this deduction is not fully taken, select the checkbox to indicate that the deduction should be included on the Deduction Processing Exceptions Report. Clear the checkbox to indicate the deduction should not be reported when this deduction is not fully taken.
DEDT	Take Partial Deduction	Checked	Data Entry	Optional If selected, a partial deduction should be taken. A partial deduction should be taken if taking the entire deduction would result in a negative net condition. If not selected, a partial deduction should not be taken.
DEDT	Valid Documents			
DEDT	Valid Document 1	TAX	Selected Value	Required Values used by CMIPS for deduction processing include: FAMC, GARN, LEVY, MISC, OTDED and EADJ, TAX

Table – Employer Fringe Benefits Type (EFBT)

CI	Document Name
CI-203407 - DSD CFGN Use Check Date for Rate EFBT IMPLEMENTED	DSD_CFGN_Use_Check_Date_for_Rate_EFBT.doc

Transaction	Field	Value	Source	Comments
EFBT	Deduction Type	CFICR	Data Entry	Required Enter the employer portion of the benefit that will be tied to the Fringe Pay Type setup for the employer expense.
EFBT	Short Description	FICA EMPLOYER	Data Entry	Required This field stores the short description of the EFBT
EFBT	Long Description		Data Entry	Optional. This field will default to the Short Description. A lengthier description can be entered if more detail is Required
EFBT	Benefit Type Class	CMIPS	Data Entry	Required Enter the benefit type class for the employer portion of the deduction. Must be configured on BTCL.
EFBT	Category	CFICR	Data Entry	Required Enter the employer Deduction Category to tie to this deduction. Must be configured on CATG.
EFBT	From	07/01 /2007	Data Entry	Required Effective date for Employer Fringe Benefits Type.
EFBT	To		Data Entry	Default. Defaults to 12/31/9999, but can contain the date the type is no longer effective.

EFBT	Fringe Pay Type	CFICP	Data Entry	Required Select the corresponding fringe pay type. Must be configured on EVNT.
EFBT	Deduction Processing Order Number	5	Data Entry	Required Number indicating in which order the deduction should be taken from the pay check.
EFBT	Deduction Acceptance Priority Number	5	Data Entry	Required Number indicating in which order the deduction should be "backed out" of the pay check if there are insufficient funds in the check.
EFBT	Employee vs. Appointment	Appointment	Data Entry	Required Fringe Pay deductions will be taken at the appointment level.
EFBT	Deduction Information			
EFBT	Employee vs. Appointment	Appointment	Selected Value	Default. Indication as to if the tax deduction should be taken on an Employee or Appointment basis, or both.
EFBT	Deduction Policy Rule	No Restriction	Selected Value	Required For CMIPS, deduction policy rule will be set to No Restriction, except for deductions that are taxes.
EFBT	Permanent Deduction Allowed	Uncheck ed	Data Entry	Required Will be uncheck ed for any deduction that is to be a onetime deduction only.
EFBT	EFT Allowed	Checked	Data Entry	Optional. Check box if collected amount can be transferred electronically to the vendor.
EFBT	Automatic Deduction Termination	Checked	Data Entry	Required
EFBT	Include in Supplemental Pay Cycle	Checked	Data Entry	Required For CMIPS, all deductions are to be included in supplemental pay cycles.
EFBT	Variable Benefit Cost	No	Selected Value	Default. One value for CMIPS.
EFBT	Use Check Date for Rate	Checked	Data Entry	Rule Driven If the deduction is a tax that should be calculated against the rate of the payment's processing date, then this should be checked. If the deduction should be calculated against the rate of the date worked, then this should be uncheck ed.
EFBT	Deduction Goal ID	Not Goal Oriented	Selected Value	Rule Driven Most deductions will be "Not Goal Oriented". Garnishments, with the exception of support orders, will usually be "Goal Oriented"
EFBT	Goal Type		Selected Value	Rule Driven If Deduction Goal Id is Goal Oriented, a selection must be made.
EFBT	Federal/State Marital Status		Selected Value	Blank for non-tax deductions. Enter the marital status to be used for the tax deduction.
EFBT	Deduction Class ID	FICA Deduction	Selected Value	Default. All non-tax deductions will use "No Special Processing". FICA, Medicare and SDI will use 'FICA Deduction'. ETT, SUI and FUTA will use 'Individual Employment Taxes'.
EFBT	Recycle Deduction	Uncheck ed	Data Entry	Optional. If selected, indicates the deduction should be recycled in a subsequent pay cycle if it has caused a negative net condition and been rejected. If not selected, indicates the deduction should not be recycled
EFBT	Partial Deduction Report	Uncheck ed	Data Entry	Optional. If this deduction is not fully taken, select the checkbox to indicate that the deduction should be included on the Deduction Processing Exceptions Report. Clear the checkbox to indicate the deduction should not be reported when this deduction is not fully taken.
EFBT	Take Partial Deduction	Uncheck ed	Data Entry	Optional. If selected, a partial deduction should be taken. A partial deduction should be taken if taking the entire deduction would result in a negative net condition. If not selected, a partial deduction should not be taken.
EFBT	Valid Documents			
EFBT	Valid Document 1	TAX	Selected Value	Required Values used by CMIPS for deduction processing include: FAMC, GARN, LEVY, MISC, OTDED and EADJ, TAX

Table – Employee Fringe Benefit Type (BENT)

CI	Document Name
CI-203406 - DSD CFGN Use Check Date for Rate BENT IMPLEMENTED	DSD_CFGN_Use_Check_Date_for_Rate_BENT.doc

Transaction	Field	Value	Source	Comments
BENT	Deduction Type	CFICE	Data Entry	Required Enter deduction types that will be used for employee fringe benefit types. Employee side is not configured when tax is employer only.
BENT	Short Description	CMIPS FICA EE	Data Entry	Required This field stores the short description of the BENT.
BENT	Long Description		Data Entry	Optional. This field will default to the Short Description. A lengthier description can be entered if more detail is Required
BENT	Benefit Type Class	CMIPS	Data Entry	Required Select benefit type class for its corresponding employee fringe deduction type. Must be configured on BTCL.
BENT	Category	CFICE	Data Entry	Required Select the category to be used for the employee fringe benefit type. Must be configured on CATG.
BENT	From	01/01 /1900	Data Entry	Required Effective date for Employee Fringe Benefit Type.
BENT	To	12/31 /9999	Data Entry	Default. Defaults to 12/31/9999, but can contain the date the Employee Fringe Benefit Type is no longer effective.
BENT	Deduction Processing Order Number	5	Data Entry	Required Number indicating in which order the fringe benefit should be taken from the pay check.
BENT	Deduction Processing Acceptance Number	5	Data Entry	Required Number indicating in which order the fringe benefit should be "backed out" of the pay check if there are insufficient funds in the check.
BENT	Employee vs. Appointment	Appointment	Selected Value	Default. All deductions are to be considered at the appointment level. One value for CMIPS.
BENT	Deduction Policy Rule	Enforce by Type /Plan	Selected Value	Required For CMIPS, deduction policy rule will be set to No Restriction, except for deductions that are taxes
BENT	Permanent Deduction Allowed	Unchecked	Data Entry	Required Will be unchecked for any deduction that is to be a onetime deduction only.
BENT	EFT Allowed	Checked	Data Entry	Optional. Check box if collected amount can be transferred electronically to the vendor.
BENT	Automatic Deduction Termination	Checked	Data Entry	Required
BENT	Include in Supplemental Pay Cycle	Checked	Data Entry	Required For CMIPS, all deductions are to be included in supplemental pay cycles.
BENT	Use Check Date for Rate	Checked	Data Entry	Rule Driven If the deduction is a tax that should be calculated against the rate of the payment's processing date, then this should be checked. If the deduction should be calculated against the rate of the date worked, then this should be unchecked.
BENT	Deduction Goal ID	Not Goal Oriented	Selected Value	Rule Driven Most deductions will be "Not Goal Oriented". Garnishments, with the exception of support orders, will usually be "Goal Oriented"
BENT	Goal Type		Selected Value	Rule Driven If Deduction Goal Id is Goal Oriented, a selection must be made.
BENT	Federal/State Marital Status		Selected Value	Blank for non-tax deductions. Enter the marital status to be used for the tax deduction.
BENT	Deduction Class ID	FICA Deduction	Selected Value	Default. All non-tax deductions will use "No Special Processing". FICA, Medicare and SDI will use 'FICA Deduction'. ETT, SUI and FUTA will use 'Individual Employment Taxes.'
BENT	Recycle Deduction	Unchecked	Data Entry	Optional. If selected, indicates the deduction should be recycled in a subsequent pay cycle if it has caused a negative net condition and been rejected. If not selected, indicates the deduction should not be recycled
BENT	Partial Deduction Report	Unchecked	Data Entry	Optional. If this deduction is not fully taken, select the checkbox to indicate that the deduction should be included on the Deduction Processing Exceptions Report. Clear the checkbox to indicate the deduction should not be reported when this deduction is not fully taken.
BENT	Take Partial Deduction	Unchecked	Data Entry	Optional. If selected, a partial deduction should be taken. A partial deduction should be taken if taking the entire deduction would result in a negative net condition. If not selected, a partial deduction should not be taken.

BENT	Valid Document 1	ENRL	Selected Value	Required Values used by CMIPS for deduction processing include: FAMC, GARN, LEVY, MISC, OTDED and EADJ, ENRL, TAX
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DSD 18/Payroll – Tax and Contribution/Business Process /Navigation Elements

This section is not applicable for Tax and Contribution Management.

DSD 18/Payroll – Tax and Contribution/Business Process /Error Messages

This section is not applicable for Tax and Contribution Management.

DSD 18/Payroll – Tax and Contribution/Business Process /Business Rules

This section is not applicable for Tax and Contribution Management.

DSD 18/Payroll – Tax and Contribution/Business Process /Tasks and Notifications

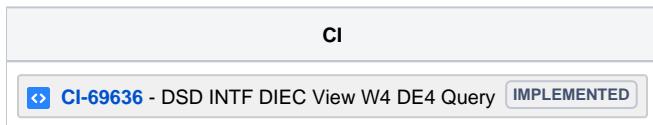
This section is not applicable for Tax and Contribution Management.

DSD 18/Payroll – Tax and Contribution/Business Process /Internal Interfaces

The following interfaces are covered in this section:

- DIEC, W-4, DE-4 Query

DSD 18/Payroll – Tax and Contribution/Business Process /Internal Interfaces/DIEC View, W-4, DE-4 Query



The Case Management (CM) "View Case Provider" screen includes fields that display the case provider's tax-related information. Since Payroll is the source of record for all tax related provider information, the CMIPS solution includes the View Taxes Query interface, which queries payroll and displays the results in CM.

Accessing the "View Case Provider" screen automatically triggers the PROO915 web service call from CM to Payroll. The View Taxes Query then performs the queries based on the internal Advantage Employee Id sent in the request and, if found, returns the following data to display: Disability Insurance Elective Coverage (DIEC), W-4, DE-4, W-2 and W-2C information.

When triggered, the View Taxes Query interface will derive the W-4 and DE-4 Statuses as follows:

- If the provider has not submitted a W-4 or DE-4, the interface will return a null value
- If the provider does not have a DE-4 on file, the De4status and De4LastUpdated fields will be blank.
- If the provider has submitted a W-4 or DE-4, has claimed Exemption and the form was submitted with a blank Marital Status, the interface will send the 'Z' – Exempt value
- Otherwise, the interface will send the Marital Status value that is found:
 - 'H' – Head of Household
 - 'M' – Married
 - 'S' – Single
 - 'Z' - Exempt

Because payroll stores the information on multiple tables, the interface looks for the data elements to return in the sequence below. The interface will send null values for elements not found. Please refer to the Data Elements of Interface table for more detailed information:

- W-4 and DE-4 allowances (EMPL_TAX_PARM)
 - W-4 Status
 - W-4 Allowance
 - W-4 Exemption Amount
 - W-4 Last Updated
 - DE4 Status
 - DE4 Allowance
 - DE4 Last Updated
- DIEC and additional Federal and State income taxes (DED_PARM)
 - Elective SDI
 - SDI Begin Date
 - SDI End Date
 - W-4 Amount
 - DE4 Amount
- W-2 Information (W2_FORM_CCYY)
 - W-2 Issued
 - W-2 Reprinted
- W-2C Information (W2C_FORM_HISTORY)
 - W-2C Issued
 - W-2C Reprinted

To capture historical W-2 Issue and Reprint dates by year, a task to create a new W2_FORM_CCYY table from a copy of the COTS W2_FORM table takes place after issuing the annual W_2 forms in January. The generation of a W-2C form writes records to both the COTS W2C_FORM and custom W2C_FORM_HISTORY tables. The View Taxes query retrieves the case provider's W-2 and W-2C information, if present, from W2_FORM_CCYY and W2C_FORM_HISTORY tables for the previous calendar year.

Characteristic of Interface

- Type – Synchronous (real-time)
- Format – Extended Markup Language (XML)
- Priority – Non-critical
- Frequency – On demand (screen driven)
- Timing – Sequencing – Active Provider and Recipient MUST exist
- Security & Privacy Classification – None for Internal
- Source(s) (System) – Payroll (Request originates from Case Management screen, Payroll is the record source)
- Target(s) (System) – Case Management
- Data Transformation(s) – There will be data transformation using Java 2 Enterprise Edition (J2EE) with which Payroll can integrate
- Media – Electronic File
- Interface Method – XML data transfer

Data Elements of Interface

Table – View Taxes Query

Source: Payroll		Target: CM (View Provider Details Screen)			
Table Name	Field Name	Field Name	Data Type(Format-Length)	Description(Data Transformation Rules)	R/O(Required or Optional)
DED_PARM	DEDDPLAN_CD	diecInd	String (1)	If DEDPLAN_CD= '2DIEC', then DIECInd is populated	O
DED_PARM	EFFECTIVE_DT	diecEffectivedt	Date (CCYY-MM-DD)	Effective date for DIEC	O
DED_PARM	EXPIRATION_DT	diecExpirationdt	Date (CCYY-MM-DD)	Expiration date for DIEC	O
EMPL_TAX_PARM	FED_TAX_MAR_STA_CD	W4status	String (1)	W-4 status. Valid values: S – Single M – Married H – Head of Household Z – Exempt	O
EMPL_TAX_PARM	FED_TAX_EXMP_CT	W4Allowance	String (7)	W-4 allowance that is part of 2019 or earlier W-4 forms	O
DED_PARM	OVRD_DED_AM	W4amount	String (7)	Additional Federal tax to be withheld (where DEDTYP_CD = '2FDTA')	O
EMPL_TAX_PARM	LAST_UPDATE_DT	W4LastUpdated	Date (CCYY-MM-DD)	Last Update Date	O
EMPL_TAX_PARM	ST_LC_TAX_MAT_STA	De4status	String (1)	DE-4 Status. Valid values: S – Single M – Married H – Head of Household Z – Exempt	O
EMPL_TAX_PARM	FED_TAX_EXMP_CT	De4allowance	String (2)	DE-4 Allowance	O
DED_PARM	OVRD_DED_AM	De4amount	String (7)	Additional State tax to be withheld (where DEDTYP_CD = '2STXA')	O
EMPL_TAX_PARM	LAST_UPDATE_DT	De4LastUpdated	Date (CCYY-MM-DD)	Last Update Date	O
W2_FORM_CCYY	LAST_UPDATE_DT	W2Issued	Date (CCYY-MM-DD)	Initial W2 Process Date	O
W2_FORM_CCYY	REISSUE_DT	W2Reprinted	Date (CCYY-MM-DD)	W2 Reprint Process Date	O
W2C_FORM_CYY	LAST_UPDATE_DT	W2CIssued	Date (CCYY-MM-DD)	Initial W2C Process Date	O
W2C_FORM_CYY	REISSUE_DT	W2CReprinted	Date (CCYY-MM-DD)	W2C Reprint Process Date	O
EMPL_TAX_PARM	TBD	W4ExemptionAmount	Numeric (9,2)	The calculated allowance amount entered on the 2020 W4 Form	O

Triggering Events

This section is not applicable for Tax and Contribution Management.

Errors

The error processing is the same process as other synchronous errors. SMU errors are captured and relayed back to CM.

Edits and Audits

The standard COTS package edits are performed on the Advantage application. Any failures on a synchronous call send back the failures on the response to Case Management. Any failures on an asynchronous call are written to an error log.
When the error is from a document create or update, the document remains in the Advantage application with a rejected status.

Table – Error Codes

Error No.	Error Code	Description
1	TAXVIEW1002	Get DIEC Info SQL Exception
2	TAXVIEW1003	Get Tax Info SQL Exception

DSD 18/Payroll – Tax and Contribution/Business Process /External Interfaces

The following interfaces are covered in this section:

- DE-34
- DE-88 (CR 477)
- DE-1 Request (CR 477)
- DE-1 Response (CR 477)
- DE-9C (CR 477)
- DE-9 (CR 477)
- EDD Financial Adjustment Report (CR 477)
- EDD Wage Adjustment Report (CR 477)
- Statements (CR 477)
- Annual UI Rate Request (CR 477)
- Annual UI Rate Response (CR 477)
- W-2
- W-2C (Back Office)
- EDD Quarterly Wage Reporting
- EDD Wage Adjustment Report

DSD 18/Payroll – Tax and Contribution/Business Process /External Interfaces/DE-34 (TXSS107A)

CI	Document Name
CI-116362 - DSD EINTF DE 34 TXSS107A IMPLEMENTED	DSD_EINTF_DE_34_TXSS107A.doc

The purpose of this interface is to provide transmission of information to the EDD. This information contains the DE-34 for each EDD-defined recipient's newly hired or rehired providers within 20 days of their start-of-work date as required by Federal law. MA HRM transfers this information on a DE-34 FSET XML file format every 15 days via batch process. File layout and transmission meets the requirements established by EDD and provided in the DE 545 FSE T Implementation Guide located at the following link: http://www.edd.ca.gov/pdf_pub_ctr/de545.pdf

Data Elements of Interface

Table – Table Mapping for DE-34

Source: PAYROLL		Target: DE-34 File			
Table Name	Field Name	Field Name	Data Type (Format-length)	Description (Data Transformation rules)	R (All are Required)
N/A	N/A	ReturnDataState.ContentLocation	String (30)	Defaulted to 'IHSS'.	
N/A	N/A	ReturnDataState.ReturnHeaderState.ReturnType	String (24)	Defaulted to 'StateNewEmployeeRegistry'	
N/A	N/A	ReturnDataState.ReturnHeaderState.StateEIN.TypeStateEIN	String (20)	Defaulted to 'WithholdingAccountNo'	
TAXING_ENTITY	ST_TAX_ID_2 The primary SEIN will be taken from the first eight characters of the string, the DIEC SEIN will be taken from the next eight characters. SEIN 1SEIN 2	ReturnDataState.ReturnHeaderState.StateEIN.StateEINValue	Number (8)	Recipient's SEIN Number	
N/A	N/A	ReturnDataState.ReturnHeaderState.StateCode	String (2)	Defaulted to 'CA'	
TAXING_ENTITY	CNTAC_FIRST_NM and CNTAC_LAST_NM	ReturnDataState.StateGeneralInformation.BusinessAddress.BusinessName.BusinessNameLine1	String (35)	Recipient's First and last name	
TAXING_ENTITY	STR_1_NM	ReturnDataState.StateGeneralInformation.BusinessAddress.Address.USAddress.AddressLine1	String (75)	Recipient's Street Number and Street Address	
TAXING_ENTITY	CITY_NM	ReturnDataState.StateGeneralInformation.BusinessAddress.Address.USAddress.City	String (28)	Recipient's City	
TAXING_ENTITY	ST_CD	ReturnDataState.StateGeneralInformation.BusinessAddress.Address.USAddress.State	String (2)	Recipient's State	
TAXING_ENTITY	ZIP	ReturnDataState.StateGeneralInformation.BusinessAddress.Address.USAddress.ZipCode	String (10)	Recipient's ZIP code	
N/A	N/A	ReturnDataState.StateGeneralInformation.BusinessAddress.TIN.TypeTIN	String (4)	Defaulted to 'FEIN'	
N/A	N/A	ReturnDataState.StateGeneralInformation.BusinessAddress.TIN.TINTypeValue	Numeric (9)	Defaulted to '942629822'	
EMPL	EMPL_FIRST_NM	ReturnDataState.StateNewEmployeeRegistry.Employee.FirstName	String (15)	Provider's First Name	

EMPL	EMPL_LAST_NM	ReturnDataState. StateNewEmployeeRegistry. Employee.LastName	String (20)	Provider's Last Name	
ADDRESS	STR_1_NM	ReturnDataState. StateNewEmployeeRegistry. Employee.Address.USAddress. AddressLine1	String (75)	Provider's Street Number and Street Name	
ADDRESS	CITY_NM	ReturnDataState. StateNewEmployeeRegistry. Employee.Address.USAddress.City	String (28)	Provider's City	
ADDRESS	ST_CD	ReturnDataState. StateNewEmployeeRegistry. Employee.Address.USAddress.State	String (2)	Provider's State	
ADDRESS	ZIP	ReturnDataState. StateNewEmployeeRegistry. Employee.Address.USAddress. ZipCode	Numeric (10)	Provider's ZIP code	
EMPL	EMPL_SSN	ReturnDataState. StateNewEmployeeRegistry. Employee.SSN	Numeric (9)	Provider's SSN	
EMPL_A SGNMT	EFFECTIVE_DT	ReturnDataState. StateNewEmployeeRegistry. StartOfWorkDate	Date (YYYY-MM-DD)	Provider's Effective Start or Reinstatement Date for the current active time slice.	

Transaction Trigger Events

This process is AutoSys batch script controlled. The batch script is set to run bi-weekly in the 1st and 16th cycles of each month.

Processing Criteria

The DE-34 job will query a list of Providers associated to EDD-registered Recipients with an active SEIN. The batch uses the queried Provider to drive this process. The batch process then creates a record containing the Recipient information and the qualified Provider information under the following situations:

- Provider newly hired
- Provider rehired (separated from prior employment for more than 60 consecutive days)
- Provider name change
- Provider SSN change

The job looks for updates made since the last time CMIPS ran the job (as logged in the CMIPSII EDD Job Control table). The batch identifies newly hired and rehired Providers by their 'Active' status on the case in the Payroll application, as of the date the job is run. To avoid reporting duplicate records, The DE-34 query returns distinct Employee IDs.

If system indicates the provider authorization to perform work during the enrollment period, the hire/rehire date may be a retroactive date. The provider is eligible for payment only after enrollment is completed.

Supplemental DE-34 creation process via DE-1 Response:

The Supplemental DE-34 job will contain functionality to produce records for all the qualified Providers working for a given Recipient. The DE-1 Response job is responsible for this functionality job during the new Recipient registration process. This process can create DE-34s weekly, so the files will be stored and then collected for transmission to EDD during the normal functionality of the DE-34 job (the 1st or 16th batch cycles.)

Advantage processing functionality will create zipped files for the DE34, DE88, DE9 and DE9C that contain no more than 5,000 records each. Advantage transmits these zipped files by BPS to the FSET gateway.

Error Processing

The batch job will generate an error log specific to this job and will contain the custom error messages listed below. An appropriate resource will monitor all errors detected and when necessary will address the next business day.

Table – Error Codes

Error No.	CI ID	Error Code	Description
1	 CI-121423 - DSD EP DE34 01 IMPLEMENTED	ERROR	No ADDRESS found for internal_empl_id

The system generates two sets of acknowledgement files for the DE-34. ACK1 files acknowledge the DE-34 transmission; ACK2 files report success or failure of individual account information. Steps for trouble-shooting ACK2 errors are located in the Operations Manual.

Below are the possible FSET DE 34 error codes from the FSET Implementation Guide.

Table - EDD DE 34 FSET Error Codes

Error Number	Error Code (Rule #)	Error Description
1	3.01	Invalid Account Number; invalid check digit
2	3.02	Invalid Account Number, cannot be all zeroes
3	4	Duplicate File: This file has already been transmitted and processed with original StateRefundIdentifier: FMMDDYY#####.
4	4	Duplicate File: This file has already been transmitted
5	93	Invalid form type
6	93.1	Invalid schema version
7	94	Various messages will be returned if the XML document is not well-formed
8	96	Empty zipped archive
9	97	Invalid File Extension
10	98	Invalid Zipped Archive
11	99	File Transmission Error
12	201	Various messages will be returned for general schema validation errors

Related Components

Business Process Functions

N/A

Business Flows

N/A

Business Rules

The following business rules apply to the DE-34 process:

ID	CI ID	Description	When	Action
1	 CI-121374 - DSD BR DE34 01 IMPLEMENTED	A qualified Provider has been hired (assigned as active on a case) since the last date the DE-34 job was run.	Always	DE-34 record is created with Recipient and Provider Information AND Provider's Effective Start Date NOTE: Effective Start Date may be a date from a prior pay period, quarter or year based on the enrollment process.
2	 CI-121375 - DSD BR DE34 02 IMPLEMENTED	A qualified Provider's name has changed since the last date the DE-34 job was run, based on the effective date name was changed.	Always	DE-34 record is created with Recipient and Provider Information AND Provider's Effective Start Date for the current active time slice

3	CI-121376 - DSD BR DE34 03 IMPLEMENTED	A qualified Provider's Social Security Number (SSN) has changed since the last date the DE-34 job was run, based on the effective date the SSN was changed.	Always	DE-34 record is created with Recipient and Provider Information AND Provider's Effective Start Date for the current active time slice
4	CI-121377 - DSD BR DE34 04 IMPLEMENTED	A qualified Provider is active on the case of a newly-registered Recipient.	Always	Supplemental DE-34 record is created with Recipient and Provider Information AND Provider's Effective Start Date NOTE: Effective Start Date may be a date from a prior pay period, quarter or year based on the enrollment process.
5	CI-740769 - DSD BR DE34 05 IMPLEMENTED	A qualified Provider has been re-hired (assigned as active again from a status of terminated on the case) since last date the DE-34 job was run AND The date the assignment action is taken is <u>more than</u> 60 consecutive days since their prior "employment" on this case NOTE: Change from leave to active will NOT require a DE-34 record.	Always	DE-34 record is created with Recipient and Provider Information AND Provider's Effective Start Date for reinstatement NOTE: Effective Start Date may be a date from a prior pay period, quarter or year based on the enrollment process.
6	CI-740770 - DSD BR DE34 06 IMPLEMENTED	A qualified Provider has been re-hired (assigned as active again from a status of terminated on the case) since last date the DE-34 job was run AND The date the assignment action is taken is <u>less than or equal to</u> 60 consecutive days since their prior "employment" on this case NOTE: Change from leave to active is NOT evaluated.	Always	Do not create DE-34 record

Tasks/Notifications

N/A

Screens

N/A

Reports

N/A

DSD 18/Payroll – Tax and Contribution/Business Process /External Interfaces/DE 88 – TXQS107E

CI	Document Name
 CI-69705 - DSD EINTF DE 88 TXQS107E IMPLEMENTED	DSD_EINTF_DE_88_TXQS107E.doc

The purpose of this interface is to provide transmission of information to the EDD. The information shall contain the Payroll Tax Deposit DE-88 coupon for each tax-reporting Recipient as defined by EDD. The DE-88 shall accurately report employer payment data at the SEIN level, and make account adjustments within the quarter prior to submission of the DE-88. These payments will match the amounts reported on the DE 9 for the quarter.

The DE-88 Interface will be FSET. Two different files will be produced based on tax codes, 01104 for DI/PIT and 01300 for UI/ETT. If both payments for a tax code are zero, then no file is produced. File layout and transmission will meet the requirements established by EDD and provided in the DE 545 *FSET Implementation Guide* located at the following link: http://www.edd.ca.gov/pdf_pub_ctr/de545.pdf

Data Elements of Interface

Table – Table Mapping for DE-88

As published by EDD – FSET Guidelines on DE-88. File layout and transmission will meet the requirements established by EDD and provided in the DE 545 *FSET Implementation Guide* located at the following link: http://www.edd.ca.gov/pdf_pub_ctr/de545.pdf

Source: PAYROLL		Target: DE-88 File			
Table Name	Field Name	Field Name	Data Type (Format-Length)	Description (Data Transformation Rules)	R/O (Required or Optional)
N/A	N/A	ReturnDataState.ContentLocation	String (30)	This is a unique value supplied by transmitter to identify each return. Default: "IHSS"	R
N/A	N/A	ReturnDataState.ReturnHeaderState.ElectronicPostmark	Timestamp (YYYY-MM-DDTHH:mm:ss.SSSZ)	Timestamp field. Example: "2016-07-07T19:34:02.698Z"	R
N/A	N/A	ReturnDataState.ReturnHeaderState.PreparerFirm.BusinessName.BusinessNameLine1	String (35)	Preparer's business name	O
N/A	N/A	ReturnDataState.ReturnHeaderState.PreparerFirm.BusinessName.BusinessNameLine2	String (35)	2nd line for preparer's business name	O
N/A	N/A	ReturnDataState.ReturnHeaderState.PreparerFirm.Address.USAddress.AddressLine1	String (75)	Preparer's U.S.A. address	O
N/A	N/A	ReturnDataState.ReturnHeaderState.PreparerFirm.Address.USAddress.AddressLine2	String (75)	2nd line of preparer's U.S.A. address	O
N/A	N/A	ReturnDataState.ReturnHeaderState.PreparerFirm.Address.USAddress.City	String (28)	Preparer's U.S.A. City	O
N/A	N/A	ReturnDataState.ReturnHeaderState.PreparerFirm.Address.USAddress.State	String (2)	Preparer's U.S.A. State	O
N/A	N/A	ReturnDataState.ReturnHeaderState.PreparerFirm.Address.USAddress.ZipCode	String (10)	Preparer's U.S.A. ZIP Code	O

N/A	N/A	ReturnDataState. ReturnHeaderState. PreparerFirm.Address. ForeignAddress. AddressLine1	String (75)	Preparer's Foreign Address	O
N/A	N/A	ReturnDataState. ReturnHeaderState. PreparerFirm.Address. ForeignAddress. AddressLine2	String (75)	2nd line of preparer's Foreign Address	O
N/A	N/A	ReturnDataState. ReturnHeaderState. PreparerFirm.Address. ForeignAddress.City	String (28)	Preparer's Foreign City	O
N/A	N/A	ReturnDataState. ReturnHeaderState. PreparerFirm.Address. ForeignAddress.ProvinceOrState	String (20)	Preparer's Foreign Province or State	O
N/A	N/A	ReturnDataState. ReturnHeaderState. PreparerFirm.Address. ForeignAddress.Country	String (20)	Preparer's Foreign Country	O
N/A	N/A	ReturnDataState. ReturnHeaderState. PreparerFirm.Address. ForeignAddress.PostalCode	String (20)	Preparer's Foreign Postal Code	O
N/A	N/A	ReturnDataState. ReturnHeaderState. PreparerFirm.PhoneNumber	String (10)	Preparer's U.S.A. Phone Number	O
N/A	N/A	ReturnDataState. ReturnHeaderState. PreparerFirm.ForeignPhoneNumber	String (20)	Preparer's Foreign Phone Number	O
N/A	N/A	ReturnDataState. ReturnHeaderState. PreparerFirm.TIN.TypeTIN	String (9)	Preparer's type of Tax Identification Number (FEIN or SSN)	O
N/A	N/A	ReturnDataState. ReturnHeaderState. PreparerFirm.TIN.TINTypeValue	String (9)	Preparer's FEIN or SSN	O
N/A	N/A	ReturnDataState. ReturnHeaderState. ReturnType	String (12)	Type of return being submitted Default "StatePayment"	R
N/A	N/A	ReturnDataState. StatePayment. PaymentInstrument. PaymentMethodType	String (3)	Type of payment being submitted Default "WIR"	R
N/A	N/A	ReturnDataState. StatePayment. PaymentInstrument.Wire. WireIdentifier	String (25)	Unique identifier for the total wire transfer	O
N/A	N/A	ReturnDataState. StatePayment. PaymentInstrument. ACHDebit. RoutingTransitNumber	String (75)	Bank ABA Routing Number	O
N/A	N/A	ReturnDataState. StatePayment. PaymentInstrument. ACHDebit. BankAccountNumber	String (75)	Employer's Bank Account Number	O
N/A	N/A	ReturnDataState. StatePayment. PaymentInstrument. ACHDebit.AccountType	String (1)	"1" for Checking or "2" for Saving	O
N/A	N/A	ReturnDataState. StatePayment. PaymentInstrument.Check. CheckNumber	String (20)	Check number	O

N/A	N/A	ReturnDataState.StatePayment.PaymentAmount.PaymentAmountTotal	Numeric (9,2)	Total amount to be paid with this submission Summing the two SubCategoryAmount tag amounts	R
N/A	N/A	ReturnDataState.StatePayment.OriginationDate	String (10)	Date this payment was originated Default: current date	R
N/A	N/A	ReturnDataState.StatePayment.PayrollDate	String (10)	Date of payroll the last day of the quarter being processed	R
N/A	N/A	ReturnDataState.StatePayment.TaxPayment.Taxpayer.TIN.TypeTIN	String (9)	Employer's type of Tax Identification Number (FEIN or SSN)	O
N/A	N/A	ReturnDataState.StatePayment.TaxPayment.Taxpayer.TIN.TINTypeValue	String (9)	Employer's FEIN or SSN	O
N/A	N/A	ReturnDataState.StatePayment.TaxPayment.Taxpayer.StateEIN.TypeStateEIN	String (20)	Defines the State Employer Identification Number Type Default "WithholdingAccount No"	R
TAXING_ENTITY	ST_TAX_ID_2 The primary SEIN will be taken from the first eight characters of the string, the DIEC SEIN will be taken from the next eight characters. SEIN 1^SEIN 2	ReturnDataState.StatePayment.TaxPayment.Taxpayer.StateEIN.StateEINValue	String (8)	Defines the State Employer Identification Number	R
TAXING_ENTITY	CNTAC_FIRST_NM and CNTAC_LAST_NM	ReturnDataState.StatePayment.TaxPayment.Taxpayer.TaxPayerName	String (35)	Tax Payer Name or Company Name	R
N/A	N/A	ReturnDataState.StatePayment.TaxPayment.TaxTypeCode.StateTaxTypeCode	String (5)	01104 = SDI/PIT Quarterly 01300 = UI/ETT Quarterly	R
EMPLYR_FICA or DED_SUM	EMPLR_TX_WH_Q1_AM, EMPL_TX_WH_Q1_AM, EMPLR_TX_WH_Q2_AM, EMPL_TX_WH_Q2_AM, EMPLR_TX_WH_Q3_AM, EMPL_TX_WH_Q3_AM, EMPLR_TX_WH_Q4_AM, EMPL_TX_WH_Q4_AM	ReturnDataState.StatePayment.TaxPayment.SubCategoryAmounts.SubCategoryAmount	Numeric (9,2)	Need 2 occurrences for each of the types above The fields are summed for all Providers	R

Transaction Trigger Events

This process is AutoSys batch script controlled. The batch script is set to run in the quarterly batch cycle.

Processing Criteria

The DE-88 job will create a maximum of two records per Recipient primary SEIN, and one record per Recipient DIEC SEIN. The first record for the primary SEIN will report SDI and PIT payments and the second record will report UI and ETT payments. The record for the DIEC SEIN will report DIEC payments only; there will be no second record for UI and ETT payments.

The payments reported on the DE-88 files will match the taxes reported on the DE-9 for each SEIN. The job will create the DE-88 records if all of the following criteria are true:

The Recipient is active in the EDD system (the status is stored in the taxing_entity table). If the Recipient has been inactivated through the DE-9 and DE-9C processes for the current quarter, a DE-88 record will still be created, if applicable (see next bullet). If a SEIN has not been received for a Recipient that is active in the EDD system, then the default SEIN will be used on the DE-88 records.

The total payment on the record must be greater than zero. If the SDI/PIT or DIEC record for a Recipient has a payment total equal to zero, then the DE-88 is not created. If the UI/ETT record for the same Recipient has a payment total greater than zero, then the DE-88 is created.

Advantage processing functionality will create zipped files for the DE34, DE88, DE9 and DE9C that contain no more than 5,000 records each. These zipped files are transmitted by BPM to the FSET gateway.

Error Processing

The batch job will generate an error log specific to this job and will contain the custom error messages listed below. The log will be monitored and if an error is detected, an appropriate resource will be notified the next business day.

Table – Error Codes

Error No.	CI ID	Error Code	Description
1	CI-121424 - DSD EP DE88 01 IMPLEMENTED	ERROR	Problem setting the Payroll Date

Two sets of acknowledgement files are generated for the DE-88. ACK1 files acknowledge the DE-88 transmission; ACK2 files report success or failure of individual account information. Steps for trouble-shooting ACK2 errors can be found in the Operations Manual.

Table - EDD DE 88 FSET Error Codes

Below are the possible FSET DE 88 error codes from the FSET Implementation Guide.

Error Number	Error Code (Rule #)	Error Description
1	1.1	Invalid Account Number: Cannot find Account.
2	1.2	Invalid Field: PayrollDate cannot be more than 5 months in the future.
3	1.3	Invalid Field: RequestedSettlementDate must be within 90 days of today's date.
4	1.4	Invalid Account Type: DE 88 only filed by Employment Tax, IHSS, and SEF Accounts.
5	1.5	Invalid Field: Account must be subject to all funds being paid (UI, DI, ETT, PIT).
6	1.6	Invalid Field: Request settlement date cannot be next business day when submitted after 3:00pm PT.
7	1.7	Invalid Field: Requested SettlementDate cannot be today or in the past.
8	2.1	Invalid Field: PayrollDate cannot be more than 12 months in the past.
9	2.2	Invalid Field: RequestedSettlementDatecannot be a weekend or bank holiday.
10	2.3	Invalid Total: SubCategoryAmounts must total to PaymentAmountTotal.
11	2.4	Invalid Account Type: Wire payments are only filed for IHSS accounts.
12	4	Duplicate File: This file has already been transmitted and processed with original StateRefundIdentifier: FMMDDYY#####.
13	4	Duplicate File: This file has already been transmitted.
14	93	Invalid form type
15	93.1	Invalid schema version
16	94	Various messages will be returned if the XML document is not well-formed
17	96	Empty zipped archive
18	97	Invalid File Extension
19	98	Invalid Zipped Archive
20	99	File Transmission Error
21	201	Various messages will be returned for general schema validation errors

Related Components

Business Process Functions

N/A

Business Flows

N/A

Business Rules

The following business rules apply to the DE-88 process:

ID	CI ID	Description	When	Action
1	 CI-121378 - DSD BR DE88 01 IMPLEMENTED	A Recipient is reported as 'No Payroll' on the DE-9 and DE-9C.	Always	DE-88 record is not created
2	 CI-121379 - DSD BR DE88 02 IMPLEMENTED	A Recipient has a Payroll record of a negative net tax amount.	Always	DE-88 record displays a default SubCategoryAmount value of 0.00 (cannot be negative); if all values are 0.00, DE-88 record is not created.
3	 CI-121380 - DSD BR DE88 03 IMPLEMENTED	A Recipient has a Payroll record of taxes without corresponding subject wages.	Always	DE-88 record displays a default SubCategoryAmount value of 0.00; if all values are 0.00, DE-88 record is not created.
4	 CI-121381 - DSD BR DE88 04 IMPLEMENTED	DE-88 record is created for a Recipient registered via the DE-1 Request, but the DE-1 Response has not yet been processed to record the Recipient SEIN.	Always	DE-88 record displays a StateEINValue of the IHSS default SEIN

Tasks/Notifications

N/A

Screens

N/A

Reports

N/A

DSD 18/Payroll – Tax and Contribution/Business Process /External Interfaces/DE-1 Registrations – TXWS107H

CI	Document Name
CI-116360 - DSD EINTF DE1 Registration TXWS107H IMPLEMENTED	DSD_EINTF_DE1_Registrations_TXWS107H.doc

The purpose of this interface is to transmit Recipient registration, reinstatement, and change information to EDD.

Data Elements of Interface

Table – Table Mapping for DE-1 Request (DE-1 Registrations)

Source: PAYROLL		Target: DE-1 Request File			
Table Name	Field Name	Field Name	Data Type (Format-Length)	Description (Data Transformation Rules)	R/O (Required or Optional)
TAXING_ENTITY	CNTAC_LAST_NM	Last-Nam	String (20)	Recipient Last Name	R
TAXING_ENTITY	CNTAC_FIRST_NM	First-Nam	String (20)	Recipient First Name	R
TAXING_ENTITY	CNTAC_MIDDLE_NM	Mid-Nam	String (15)	Recipient Middle Name	R
N/A	N/A	Ico-Nam	String (28)		O
N/A	N/A	Ico-Strt-Adrs	String (28)		O
N/A	N/A	Ico-City-Adrs	String (20)		O
N/A	N/A	Ico-St-Adrs	String (2)		O
N/A	N/A	Ico-Zp-Adrs	String (5)		O
TAXING_ENTITY	STR_1_NM	Strt-Adrs	String (28)	Recipient's Street Number and Name	R
TAXING_ENTITY	CITY_NM	City-Adrs	String (20)	Recipient's City	R
TAXING_ENTITY	ST_CD	St-Adrs	String (2)	Recipient State	R
TAXING_ENTITY	ZIP	Zip-Adrs	String (5)	Recipient ZIP Code	R
TAXING_ENTITY	FED_TAX_ID	Er-FEIN-Num	String (9)	Default: "942629822" This is the same value for every Recipient. California is viewed as the employer from a federal perspective so all Recipients share the same number.	R
TAXING_ENTITY	CTY_CD	Er-Cnty-Cd	String (3)	The two-digit code that represents the county that manages the Recipient case.	R
TAXING_ENTITY	ST_TAX_ID_2 The primary SEIN will be taken from the first 8 characters of the string, the DIEC SEIN will be taken from the next 8 characters. SEIN 1-SEIN 2 CTY_CD	Agent-IHSS-Id-Data	String (49)	This will contain the SEIN in positions 3-10, the District Office in positions 13-14, the EDD rate flag in position 15, and CMIPSII in positions 43-49. The CMIPSII part is used as an indicator to EDD that this file is from the new system. The SEIN will not be included in 'New registration requests.'	R
TAXING_ENTITY	ST_TAX_ID_1	Own-SSN-Num	String (9)	Recipient SSN Lookup the first 9 characters of the ST_TAX_ID_1 field, which represents the SSN value.	R
N/A	N/A	Regn-Type	String (1)	1 = A family member electing DI coverage. If field is blank, it is not a DIEC account.	R

N/A	N/A	Update-Code	String (1)	C = change N = new R = reinstate	R
TAXING_ENTITY	ST_TAX_ID_2 The primary SEIN will be taken from the first eight characters of the string, the DIEC SEIN will be taken from the next eight characters. SEIN 1'SEIN 2	Account-Number	String (20)	Value for New = blank Value for Existing or Reinstatement = Existing SEIN	R
N/A	N/A	Reinstate-e-Date	String (8)	Recipient reinstate date YYYYMMDD Defaults to first day of effective quarter.	O R if update code is "R"
TAXING_ENTITY	ST_TAX_ID_3	Own-Birth-Dt	String (8)	Recipient birth date	R (YYYYMMDD)
PAY_SUM	QTRLY_X_CASH_PY_AM where (SUBSTR(CATG_CD, 2, 1) IN ('P', 'F', 'J', 'D') OR CATG_CD IN ('GCP', 'GCF', 'GCJ'))	Total-Wages	String (11)	Sum of gross wages paid for the quarter to-date for all Providers on the Recipient case. Wages paid for tax-exempt adjustments are not included.	R
DED_SUM	DED_XST_QTR_AM where Catg_Cd in ('2STTX', '2STXA', '2STXC')	PIT-Withheld	String (11)	Sum of PIT withheld for the quarter to-date for all Providers on the Recipient case.	R
PAY_SUM	QTRLY_X_CASH_PY_AM where (SUBSTR(CATG_CD, 2, 1) IN ('F', 'D') OR CATG_CD IN ('GCF'))	Exempt-Wages-Amt	String (11)	Sum of exempt wages (for Family or Domestic Partner Providers) paid for the quarter to-date for all Providers on the Recipient case.	R
N/A	N/A	Effective-Quarter	String (5)	Quarter during which file was generated. Determined by Advantage HRM application date.	R (YYYYQ)

Transaction Trigger Events

This process is AutoSys batch script controlled. The batch script is set to run in a weekly (Friday) cycle. If the quarter ends mid-week (Monday - Thursday) then the DE-1 job will also run on the last calendar day of the quarter.

Processing Criteria

The DE-1 Request job uses "Update Code" to indicate the type of record that is sent to EDD. EDD will take a different action depending on the code received.

Update Code "N" – This code will be used for new registration of a Recipient in the EDD system. The Recipient is considered new if there is no existing SEIN assigned to this Recipient. When a new registration is submitted, the IHSS master account number of 530-0002-2 is populated as a default on the taxing entity record in Payroll until the Recipient SEIN is returned by EDD.

Update Code "C" – This code will be used for changes to a Recipient that has previously been registered with EDD and is active in the EDD system. The job looks for changes made since the last time the job was run (as logged in the CMIPSII EDD Job Control table.)

Update Code "R" – This code will be used for the reinstatement of a Recipient in the EDD system. The Recipient will be reinstated if registration requirements are met but an inactive SEIN already exists. This code will also be used when Provider elects DIEC and an inactive SEIN already exists.

If the address field length is greater than 28 characters, the field will be truncated to 28 characters (this is high limit set for this field).

If the city field length is greater than 20 characters, the field will be truncated city to 20 characters (this is high limit set for this field).

Error Processing

The batch job will generate an error log specific to this job and will contain custom error messages listed below. The log will be monitored and if an error is detected, an appropriate resource will be notified the next business day.

Table – Error Codes

Error No.	CI ID	Error Code	Description
1	 CI-121422 - DSD EP DE1 Request 01 IMPLEMENTED	ERROR	Failed to Process record for Taxing Entity

Related Components

Business Process Functions

N/A

Business Flows

N/A

Business Rules

The following business rules apply to the DE-1 Request process:

ID	CI ID	Description	When	Action
1	 CI-121360 - DSD BR DE1 Request 01 IMPLEMENTED	An unregistered Recipient has wages subject to payroll taxes greater than or equal to \$750 in the reporting quarter.	Always	DE-1 Request record is created with UpdateCode value of 'N'
2	 CI-121361 - DSD BR DE1 Request 02 IMPLEMENTED	An unregistered Recipient has an exempt Provider that has enrolled in DIEC in the reporting quarter.	Always	DE-1 Request record is created with UpdateCode value of 'N' and RegnType value of '1'
3	 CI-121362 - DSD BR DE1 Request 03 IMPLEMENTED	An unregistered Recipient has a Provider that has PIT withheld in the reporting quarter.	Always	DE-1 Request record is created with UpdateCode value of 'N'
4	 CI-121363 - DSD BR DE1 Request 04 IMPLEMENTED	A registered, active Recipient has a change of first or last Name in the reporting quarter.	Always	DE-1 Request record is created with UpdateCode value of 'C'
5	 CI-121364 - DSD BR DE1 Request 05 IMPLEMENTED	A registered, active Recipient has a change of address in the reporting quarter.	Always	DE-1 Request record is created with UpdateCode value of 'C'
6	 CI-121365 - DSD BR DE1 Request 06 IMPLEMENTED	A registered, active Recipient has a change of date of birth in the reporting quarter.	Always	DE-1 Request record is created with UpdateCode value of 'C'
7	 CI-121366 - DSD BR DE1 Request 07 IMPLEMENTED	A registered, active Recipient has a change of social security number with an effective date in the reporting quarter.	Always	DE-1 Request record is created with UpdateCode value of 'C'
8	 CI-121367 - DSD BR DE1 Request 08 IMPLEMENTED	A previously registered Recipient with an inactive SEIN has wages subject to payroll taxes greater than or equal to \$750 in the reporting quarter.	Always	DE-1 Request record is created with UpdateCode value of 'R'
9	 CI-121368 - DSD BR DE1 Request 09 IMPLEMENTED	A previously registered Recipient with an inactive SEIN has an exempt Provider that has enrolled in DIEC in the reporting quarter.	Always	DE-1 Request record is created with UpdateCode value of 'R' and RegnType value of '1'
10	 CI-121369 - DSD BR DE1 Request 10 IMPLEMENTED	A previously registered Recipient with an inactive SEIN has a Provider that has PIT withheld in the reporting quarter.	Always	DE-1 Request record is created with UpdateCode value of 'R'
11	 CI-121370 - DSD BR DE1 Request 11 IMPLEMENTED	A previously registered Recipient with an inactive SEIN has a re-opened case within the 2-year rolling window.	Always	DE-1 Request record is created with UpdateCode value of 'R'

Tasks/Notifications

N/A

Screens

N/A

Reports

N/A

DSD 18/Payroll – Tax and Contribution/Business Process /External Interfaces/DE-1 Response – TXWR107I

CI	Document Name
CI-116361 - DSD EINTF DE1 Response TXWR107I IMPLEMENTED	DSD_EINTF_DE1_Response_TXWR107I.doc

The purpose of this interface is to provide transmission of information from the EDD to CMIPS. The information contained in the DE-1 Response file is the SEIN (EDD Employer Number) and the SUI/ETT tax rates. The DE-1 Response is the receive file for DE-1 Request for 'N'ew and 'R'einstated Recipients.

Table – Table Mapping for DE-1 Response

Source: DE-1 Response File		Target: PAYROLL			
File Name	Field Name	Field Name	Data Type (Format-Length)	Description (Data Transformation Rules)	R/O (Required or Optional)
TXW R107I	Own-Last-Nam	TAXING_ENTITY.CNTAC_LAST_NM	String (20)	Recipient's last name	R
TXW R107I	Own-First-Nam	TAXING_ENTITY.CNTAC_FIRST_NM	String (20)	Recipient's first name	R
TXW R107I	Own-Mid-Nam	TAXING_ENTITY.CNTAC_MIDDLE_NM	String (15)	Recipient's middle name	R
TXW R107I	Care-Of-Mail-Nam	N/A	N/A	N/A	N/A
TXW R107I	Care-Of-Nam	N/A	N/A	N/A	N/A
TXW R107I	Care-Of-Strt-Adrs	N/A	N/A	N/A	N/A
TXW R107I	Care-Of-City	N/A	N/A	N/A	N/A
TXW R107I	Recip-Strt-Adrs	TAXING_ENTITY.STR_1_NM	String (22)	Recipient's address	R
TXW R107I	Recip-City-Adrs	TAXING_ENTITY.CITY_NM	String (14)	Recipient's city	R
TXW R107I	Recip-St-Adrs	TAXING_ENTITY.ST_CD	String (2)	Recipient's state	R
TXW R107I	Recip-Zip-Adrs	TAXING_ENTITY.ZIP	String (5)	Recipient's ZIP code	R
TXW R107I	FEIN-Num	TAXING_ENTITY.FED_TAX_ID	String (9)	Default: "942629822" This is the same value for every Recipient. California is viewed as the employer from a federal perspective so all Recipients share the same number.	R
TXW R107I	Agent-Id-Info	N/A	N/A	N/A	N/A
TXW R107I	Own-SSN-Num	TAXING_ENTITY.ST_TAX_ID_1	String (9)	Recipient's SSN Lookup the first 9 characters of the ST_TAX_ID_1 field, which represents the SSN value.	R
TXW R107I	Acct-Num	TAXING_ENTITY.ST_TAX_ID_2	String (7)	This is the first seven digits of the Recipient's SEIN	R
TXW R107I	Acct-Ck-Digit	TAXING_ENTITY.ST_TAX_ID_2	String (1)	This is the last digit of the Recipient's SEIN	R
TXW R107I	Fips-Cnty-Cd	N/A	N/A	N/A	N/A
TXW R107I	Industry-Cd	N/A	N/A	N/A	N/A
TXW R107I	Ownship-Cd	N/A	N/A	N/A	N/A
TXW R107I	Auxiliary-Cd	N/A	N/A	N/A	N/A

TWW R107I	Subj-Qtr- Prd	N/A	N/A	N/A		N/A
TXW R107I	UI Tax- Rate	N/A	N/A	N/A		N/A
TXW R107I	Ett-Rate	N/A	N/A	N/A		N/A
TXW R107I	Etdo-Num	N/A	N/A	N/A		N/A
TXW R107I	Process- Dt	N/A	N/A	N/A		N/A
TXW R107I	Own-Birth- Dt	N/A	N/A	N/A		N/A
TXW R107I	Total- Wages	N/A	N/A	N/A		N/A
TXW R107I	PIT- Withheld	N/A	N/A	N/A		N/A
TXW R107I	UI-Reptg- Cd	N/A	N/A	N/A		N/A
TXW R107I	DI-Reptg- Cd	N/A	N/A	N/A		N/A
TXW R107I	PIT-Reptg- Cd	N/A	N/A	N/A		N/A
TXW R107I	ETT- Reptg-Flg	N/A	N/A	N/A		N/A
TXW R107I	Exempt- Wages- Amt	N/A	N/A	N/A		N/A

Transaction Trigger Events

This process is AutoSys batch script controlled. The batch script is set to run in the quarterly batch cycle.

Processing Criteria

The DE-1 Response job will read the input file supplied by EDD. This file is a response to the DE-1 Request file sent by Managed Advantage (MA) HRM. The matching criterion for the DE-1 Response is the Recipient SSN supplied on the file.

If the Recipient record on the DE-1 Response file is indicative of a new registration, MA HRM will then run the Supplemental DE-34 batch processed to generate a DE-34 record for this Recipient. MA HRM will include these DE-34 records in the file sent by the normal semi-monthly DE-34 process.

If the response file provides a change to either the UI or ETT rate as displayed on the Taxing Entity record in the State Tax Id 4 field, the job updates the rate(s) displayed. In addition, the job creates ENRL documents using a static date range of 1/1/2007 - 12/31/9999 to enroll eligible case-providers in the new alternate tax rates, and STRG documents for the same providers to trigger a recalculation of employer tax amounts based upon the new rates. A case-provider is determined to be eligible if the relationship to the Recipient is established as non-family (i.e. provider is not identified as a Parent, Spouse, Registered Domestic Partner, or Minor Child under 18.)

If the response file provides a change to either the UI or ETT rate as displayed on the Taxing Entity record in the State Tax Id 4 field, the job updates the rate(s) displayed. In addition, the job creates ENRL documents using a static date range of 1/1/2007 - 12/31/9999 to enroll eligible case-providers in the new alternate tax rates, and STRG documents for the same Providers to trigger a recalculation of employer tax amounts based upon the new rates. A case-provider is determined to be eligible if the relationship to the Recipient is established with a current or future date as non-family (i.e. Provider is not identified as a Parent, Spouse, Registered Domestic Partner, or Minor Child under 18.)

Error Processing

The batch job will generate an error log specific to this job and will contain the custom error messages listed below. An appropriate resource will monitor the log files generated. The resource will address any errors detected the following business day.

Table – Error Codes

Error No.	CI ID	Error Code	Description
1	CI-121431 - DSD EP DE1 Response 01 IMPLEMENTED	ERROR	No Match found on SSN

Related Components

N/A

Business Process Functions

N/A

Business Flows

N/A

Business Rules

The following business rules apply to the DE-1 Response job:

ID	CI ID	Description	When	Action
1	 CI-121371 - DSD BR DE1 Response 01 <small>IMPLEMENTED</small>	EDD sends a DE-1 Response record with a new SEIN.	Always	The Recipient taxing entity record (StateTaxId2 field) will be updated with the provided SEIN ; this field can store one or both of a primary and DIEC SEIN, with the primary as the first element and the DIEC SEIN as the second, separated by '^'. Example, 12345678^98765432
2	 CI-121372 - DSD BR DE1 Response 02 <small>IMPLEMENTED</small>	EDD sends a DE-1 Response record with UI and ETT rates of zero/zero.	Always	No change will be made to the rates in payroll (both rates being zero/zero signifies a DI-rated account); the last known UI and ETT rates will continue to display
3	 CI-121373 - DSD BR DE1 Response 03 <small>IMPLEMENTED</small>	EDD sends a DE-1 Response record with UI and ETT rates not zero/zero and not equal to existing rates displayed on the Recipient taxing entity record.	Always	The job updates the recipient taxing entity record (State Tax Id 4) with the new rates and creates new ENRL and STRG documents for eligible Provider(s) assigned to the taxing entity. On the ENRL document(s), the job will set the effective date to 1/1/2007 and expiration date to 12/31/9999.

Tasks/Notifications

N/A

Screens

N/A

Reports

N/A

DSD 18/Payroll – Tax and Contribution/Business Process /External Interfaces/DE-9C Interface - TXQS107B

CI	Document Name
CI-69695 - DSD EINTF DE 9C Interface TXQS107B IMPLEMENTED	DSD_EINTF_DE_9C_Interface_TXQS107B.doc

The purpose of this interface is to provide transmission of information to the EDD for quarterly tax reporting. The information will contain the Quarterly Contribution Return and Report of Wages (Continuation) (DE-9C) for each qualified employer. This file will contain an active SEIN to accurately report subject wage information for all active Recipients. If there is no active SEIN then this interface will use the IHSS master account number of 530-0002-2. File layout and transmission will meet the requirements established by EDD and provided in the DE 545 FSET Implementation Guide located at the following link: http://www.edd.ca.gov/pdf_pub_ctr/de545.pdf

Data Elements of Interface

Table – Table Mapping for DE-9C

Source: PAYROLL		Target: DE 9C File			
Table Name	Field Name	Field Name	Data Type (Format-Length)	Description (Data Transformation Rules)	R/O (Required or Optional)
N/A	N/A	ContentLocation	String (30)	This is a unique value supplied by transmitter to identify each return. Default: "IHSS"	R
N/A	N/A	DocumentID	String (1)	Default: "A"	R
N/A	N/A	ElectronicPostmark	String (20) CCYY-MM-DDT00:00:00Z	This is the date of filing Default: current date; time of 00:00:00	R
N/A	N/A	ReturnQuarter	String (1) Q (Q = calendar quarter number)	The quarter for which the return is filed. Determined by batch job parameter.	R
N/A	N/A	Taxyear	String (4) CCYY	The tax year for which the return is filed. Determined by batch job parameter.	R
N/A	N/A	SoftwareID	String (8)	Default "00000000"	R
N/A	N/A	ReturnType	String (15)	Default "StateCombined"	R
N/A	N/A	Form	String (4)	Default "DE9C"	R
N/A	N/A	Filing Action: Action	String (10)	Default "Original"	R
N/A	N/A	Filing Action: Reason	String (4)	Default: "None"	R
N/A	N/A	TypeStateEIN	String (20)	Default: "WithholdingAccountNo"	R
TAXING_ENTITY	ST_TAX_ID_2 The primary SEIN will be taken from the first eight characters of the string, the DIEC SEIN will be taken from the next eight characters. SEIN 1^SEIN 2	StateEINValue	String (8)	Default "53000022" if Recipient is subject to filing of returns but no registered SEIN has been populated	R
N/A	N/A	StateEINExtension	String (3)	Default: "00A"	R
N/A	N/A	StateCode	String (2)	Default: "CA"	R
TAXING_ENTITY	CNTAC_FIRST_NM and CNTAC_LAST_NM	BusinessName	String (50)	Recipient's Name CNTAC_FIRST_NM and CNTAC_LAST_NM will be concatenated	R
TAXING_ENTITY	STR_1_NM	AddressLine	String (75)	Recipient's Street Number and Name	R
TAXING_ENTITY	CITY_NM	City	String (28)	Recipient's City	R

TAXING_ENTITY	ST_CD	StateorProvince	String (2)	Recipient's State	R
TAXING_ENTITY	ZIP	ZipCode	String (10)	Recipient's Zip	R
TAXING_ENTITY	PH_NO	PhoneNumber	String (10)	Recipient's Phone Number	O
N/A	N/A	AddressChangeElect	String (1)	Used to determine if the address has changed The value will be "X" if the address has changed and there will be no tag if the address is the same. This functionality is not currently used as address changes for registered Recipients are sent on the weekly DE-1 file.	O
N/A	N/A	Tax Type	String (4)	Tax type family	O
N/A	N/A	FinalReturnElect	String (1)	Used to indicate the final return; this is sent if the Recipient case was terminated in the reporting quarter. The value will be "X" if the file is the final return and there will be no tag if it is not.	O
N/A	N/A	DateFinalWagesPaid	String (11)	The last day of the reporting quarter. If FinalReturnElect is not indicated, this tag will not be displayed. CCYY-MM-DD	O R if FinalReturnElect is indicated
N/A	N/A	NumberOfEmployees	String (5)	Total Providers received from database lookup; if No Payroll Elect is selected, this will default to zero.	R
N/A	N/A	NoPayrollElect	String (1)	If there is no quarterly payroll for this Recipient then this field is populated with 'X'. If not indicated, the tag will not display.	O
FICA	CVRD_WAGES_X_QTR where X = 1st,2nd,3rd,4th	WHTotalWages	String (11)	Sum of quarterly subject wages for all the Providers associated with this Recipient. If WHTotalWages < 750 and TotalIncomeTaxWithheld < 1 AND not within 2 year rule (application control year <=computer [1] + 1 Then WHTotalWages = 0.00	R
PAY_SUMM DED_SUMM	QTRLY_X_CSH_PY_AM if WHTotalWages > 1; OR SB_GRSS_XST_QTR_AM if WHTotalWages < 1	WHTaxableWages	String (11)	Sum of PIT-subject wages for the quarter for all Providers on the Recipient case. If WHTotalWages < 750 and TotalIncomeTaxWithheld < 1 AND not within 2 year rule (application control year <=computer[1] + 1 Then WHTaxableWages = 0.00. If TotalIncomeTaxWithheld (DED_SUMM . DED_XST_QTR_AM) <= 0 Then WHTaxableWages = WHTaxableWages – DIEC wages for Recipient (EMPLYR_FICA. EMPLYR_FICA).	R
DED_SUMM	DED_XST_QTR_AM where Catg_Cd in ('2STTX', '2STXA', '2STXC')	TotalIncomeTax Withheld	String (11)	Sum of PIT withheld for the quarter for all Providers on the Recipient case.	R
EMPL	EMPL_SSN	SSN	String (9)	Provider SSN	R
EMPL	EMPL_FIRST_NM	FirstName	String (15)	Provider First Name	R
EMPL	EMPL_MIDDLE_NM	Middle Name	String (15)	Provider Middle Name	R
EMPL	EMPL_LAST_NM	LastName	String (20)	Provider Last Name	R
FICA	CVRD_WAGES_X_QTR where Fica_Id = 'D'	TotalWages	String (11)	Sum of quarterly subject wages for the identified Provider. If WHTotalWages < 750 and TotalIncomeTaxWithheld < 1 AND not within 2 year rule(application control year <=computer [1] + 1 Then WHTotalWages = 0.00	R
PAY_SUMM DED_SUMM	QTRLY_X_CSH_PY_AM if WHTotalWages > 1; OR SB_GRSS_XST_QTR_AM if WHTotalWages < 1	TaxableWages	String (11)	Sum of PIT-subject wages for the quarter for the identified Provider. If WHTotalWages < 750 and TotalIncomeTaxWithheld < 1 AND not within 2 year rule(application control year <=computer[1] + 1 Then WHTaxableWages = 0.00. If TotalIncomeTaxWithheld (DED_SUMM . DED_XST_QTR_AM) <= 0 Then WHTaxableWages = WHTaxableWages – DIEC wages for Recipient (EMPLYR_FICA. EMPLYR_FICA).	R

DED_SUMM	DED_XST_QTR_AM, where Catg_Cd in ('2STTX', '2STXA', '2STXC')	TaxWithheld	String (11)	Sum of PIT withheld for the quarter for the identified Provider.	R
DED_PARM	DEDTYP_CD, DEDPLAN_CD	WagePlan	String (1)	For DIEC SEIN, if a current deduction exists with DEDTYP_CD, DEDPLAN_CD equal to "2DIEC" then the value is "J". Otherwise the value will be "S" for UI-rated Recipients; "J" for DI-rated Recipients; or "P" if only PIT is withheld. The plan code represents the status of the reporting quarter and applies to all Providers on the Recipient case.	R
N/A	N/A	Month1Employees	Numeric (3)	Total Providers received from database lookup; if No Payroll Elect is selected, this will default to zero.	R
N/A	N/A	Month2Employees	Numeric (3)	Total Providers received from database lookup; if No Payroll Elect is selected, this will default to zero.	R
N/A	N/A	Month3Employees	Numeric (3)	Total Providers received from database lookup; if No Payroll Elect is selected, this will default to zero.	R

Trigger Events

This process is AutoSys batch script controlled. The batch script is set to run in the quarterly cycle.

Processing Criteria

Once a Recipient pays \$750 in a calendar quarter, the Provider wages are subject to Disability Insurance (DI). Wages remain subject to DI, even if the \$750 threshold is not met again. The Recipient and Provider must be reported on the DE-9, DE-9C and DE-88 (if taxes owed) until EDD inactivates the SEIN (TXQR107N).

Once a Recipient pays \$1,000 in a calendar quarter, the Provider wages are subject to Unemployment Insurance (UI) and Employment Training Tax (ETT). Wages remain subject to UI and ETT until EDD inactivates the SEIN (TXQR107N). The Recipient and Provider must be reported on the DE-9, DE-9C and DE-88 (if taxes owed) during this period.

If either the \$750 or \$1,000 minimum threshold is met in Year 2 of the two-year rule, the EDD two-year "clock" starts again.

The DE-9C job will report a Recipient's SEIN until EDD has provided inactivation detail (TXQR107N).

Two-Year Rule

Once a Recipient pays \$750 in a calendar quarter, the Provider wages are subject to Disability Insurance (DI). Wages remain subject to DI for the remainder of the current year and the entire following calendar year, even if the \$750 threshold is not met again. The Recipient and Provider must be reported on the DE-9, DE-9C and DE-88 (if taxes owed) during this period.

Once a Recipient pays \$1,000 in a calendar quarter, the Provider wages are subject to Unemployment Insurance (UI) and Employment Training Tax (ETT). Wages remain subject to UI and ETT for the remainder of the current year and the entire following calendar year, even if the \$1,000 threshold is not met again. The Recipient and Provider must be reported on the DE-9, DE-9C and DE-88 (if taxes owed) during this period.

If either the \$750 or \$1,000 minimum threshold is met in Year 2 of the two-year rule, the two-year "clock" starts again. The "clock year" for the 2-year rule can be found on the taxing entity (TXEN) page, in the Computer field.

The following tables illustrate the EDD "two-year" rule.

Accounts will be reported for the 2-year rule (current year of activation, plus full subsequent year) even if the account has no payroll for 4 quarters. For reporting purposes, processing criteria was updated to look only at the account's 2-year rule status, and not at the past 4 quarters of payroll. When the 2-year rule has been satisfied the account will be inactivated the following quarter.

Example 1: Threshold not broken and no payroll for 4 quarters

Quarter	Q1Y1	Q2Y1	Q3Y1	Q4Y1	Q1Y2	Q2Y2	Q3Y2	Q4Y2	Q1Y3
Wages	800	0	0	0	0	0	0	0	Inactivate

If the wages are under the threshold then the 2 year rule is never reset and the account is inactivated the following quarter.

Example 2: Threshold not broken

Quarter	Q1Y1	Q2Y1	Q3Y1	Q4Y1	Q1Y2	Q2Y2	Q3Y2	Q4Y2	Q1Y3
Wages	800	0	0	0	600	600	100	100	Inactivate

If the threshold is broken, then the 2-year rule is reset and the logic in the first 2 examples is followed.

Example 3: Threshold broken year 2

Quarter	Q1Y1	Q2Y1	Q3Y1	Q4Y1	Q1Y2	Q2Y2	Q3Y2	Q4Y2	Q1Y3	Q2Y3	Q1Y3	Q2Y3	Q1Y4
Wages	800	0	0	0	1000	0	0	0	0	0	0	0	Inactivate
2 year rule	Report until Y2	Report until Y2	Report until Y2	Report until Y2	Report until Y3	Report till Y3	Report until Y3						

New Registration or Reinstatement of a PIT only account will start the 2-year rule clock but it will never be reset. Once the PIT only account is outside the 2-year rule then it will be reported until there is no PIT. If the PIT only account becomes a DI/UI account then the 2-year rule will be reset and it follows the top 3 examples.

Example 4: PIT Only

Quarter	Q1Y1	Q2Y1	Q3Y1	Q4Y1	Q1Y2	Q2Y2	Q3Y2	Q4Y2	Q1Y3	Q2Y3
PIT Withheld	30	30	30	30	0	0	20	20	10	0.00 Inactivate

Once the 2-year rule is satisfied, all reports of inactivation will be handled via the no payroll and out of business indicators on the DE9 and DE9C. If there is payroll below threshold at the time the inactivation is reported, the no payroll indicator would be set to true with zeroes reported for wages and the employee count reported as zero.

In addition to inactivating because of the 2-year rule, the DE-9C job will report a Recipient's SEIN as out of business if the following is true:

- DIEC enrollment ended

Three-Year Rule

DIEC is not subject to a wage minimum threshold. If DIEC is elected, all wages are to be reported to EDD. Once an otherwise exempt Provider enrolls in DIEC, enrollment is in effect for the remainder of the current year and the following two calendar years. Coverage can only be terminated after this time, unless one of the following conditions exists:

- A child Provider turns 18 years of age and is no longer eligible for elective DI
- A family Provider is no longer a family member (i.e., Recipient and Provider are divorced) and is no longer eligible for elective DI

The Recipient and Provider must be reported on the DE-9 and DE-9C during this period.

The following table illustrates the EDD "three-year" rule for DIEC.

Example: Family Provider elects for DIEC; familial status is maintained for the entire three-year period:

Yr/Qtr	10/1	10/2	10/3	10/4	11/1	11/2	11/3	11/4	12/1	12/2	12/3	12/4
Wages	750	750	600	750	600	1000	500	600	600	650	500	600
Subject	DIEC Three-year rule begins											three-year rule ends; coverage can end

The three-year rule for the DIEC SEIN will be handled in Case Management. The Case Management system will not allow a Provider to end-date the DIEC earlier than the three-year rule would allow, so the Payroll system will have a Provider DIEC record with the correct end date.

The DE-9C will execute the following functionality if the Recipient has a DIEC SEIN:

- If the Recipient has a Provider enrolled in DIEC that has an end date later than the end of the quarter then a DE-9C is created
- If the Recipient has a Provider enrolled in DIEC that has an end date in the middle of the quarter then a DE-9C will be created to deactivate the DIEC SEIN for that Recipient. The field used is 'Final Return Elect.'

Error Processing

The batch job will generate an error log specific to this job and will contain the custom error messages listed below. The log will be monitored and if an error is detected, an appropriate resource will be notified the next business day.

Table – Error Codes

Error No.	CI ID	Error Code	Description
1	CI-121427 - DSD EP DE9C 01 IMPLEMENTED	ERROR	PIT withheld was greater than zero but the wages were equal to zero, the Provider was skipped
2	CI-121428 - DSD EP DE9C 02 IMPLEMENTED	ERROR	Problem getting Wage Plan for Employee ID

Two sets of acknowledgement files are generated for the DE-9C. ACK1 files acknowledge the DE-9C transmission; ACK2 files report success or failure of individual account information. Steps for trouble-shooting ACK2 errors can be found in the Operations Manual.

Table - EDD DE 9C FSET Error Codes

Below are the possible FSET DE 9C error codes from the FSET Implementation Guide.

Error Number	Error Code (Rule #)	Error Description
1	1.21	Account should not have WHTotalWages
2	1.3	Account should not have TotalWages (subject wages) for any individual employee.
3	1.6	Invalid Year/Quarter: Cannot be a future quarter or more than 6 Quarters past
4	1.8	Invalid Account Number
5	3.4	Invalid Tax Field: TotalIncomeTaxWithheld must be zero if account is not subject to PIT
6	3.5	If account is subject to DI or ETT, or UI is tax-rated or reimbursable, then WHTotalWages must be greater than zero, unless NoPayrollAnnualElect tag is included.
7	3.6	Invalid Account Type: DE6 & DE9C only filed by Employment Tax, IHSS, and SEF Accounts
8	3.7	WHTotalWages, WHTotalWages, WHTaxableWages, and TotalIncomeTaxWithheld must be all zero when return is marked No Payroll
9	4	Duplicate File: This file has already been transmitted and processed with original StateReturnIdentifier: FMMDDYY#####.
10	4	Duplicate File: This file has already been transmitted.
11	93	Invalid form type
12	93.1	Invalid schema version
13	94	Various messages will be returned if the XML document is not well-formed
14	96	Empty zipped archive
15	97	Invalid File Extension
16	98	Invalid Zipped Archive
17	99	File Transmission Error
18	201	Various messages will be returned for general schema validation errors

Related Components

Business Process Functions

N/A

Business Flows

N/A

Business Rules

The following business rules apply to the DE 9C process:

ID	CI ID	Description	When	Action
1	 CI-121396 - DSD BR DE9C 01 IMPLEMENTED	A Recipient has an active SEIN.	Always	The DE-9C record is created

2	CI-121397 - DSD BR DE9C 02 IMPLEMENTED	A Recipient has a SEIN inactivated by the SEIN Inactivation job during the reporting quarter and has had no payroll activity.	Always	The DE-9C record is not created
3	CI-121398 - DSD BR DE9C 03 IMPLEMENTED	A Recipient has been registered as active via the DE-1 Request but the DE-1 Response has not yet been processed.	Always	The DE-9C record is created using the default SEIN
4	CI-121399 - DSD BR DE9C 04 IMPLEMENTED	A Recipient has family Provider wages reported with PIT withheld.	Always	Wages are not included in TotalWages amount.
5	CI-121400 - DSD BR DE9C 05 IMPLEMENTED	A Recipient has non-family Provider wages under threshold and no PIT withheld.	Always	Provider and corresponding wage/tax information is not included on the DE-9C record.
6	CI-121401 - DSD BR DE9C 06 IMPLEMENTED	A Recipient has a Provider(s) with a DIEC expiration date later than the end of the reporting quarter.	Always	A DE-9C record is created
7	CI-121402 - DSD BR DE9C 07 IMPLEMENTED	A Recipient has a Provider(s) with a DIEC expiration date during the reporting quarter.	Always	A DE-9C record will be created to deactivate the Recipient's DIEC SEIN by populating the FinalReturn
8	CI-121403 - DSD BR DE9C 08 IMPLEMENTED	A Recipient with a DIEC SEIN pays family wages but no DIEC is withheld.	Always	TotalWages and TaxableWages fields are set to 0.00; this will cause the NoPayrollElect indicator to be set
9	CI-121404 - DSD BR DE9C 09 IMPLEMENTED	A Recipient has total wages equal to zero then the No Payroll Elect flag is checked and no Provider information is reported.	Always	TotalWages, TotalTaxableWages, and TaxWithheld must be 0.00 on the DE-9C record
10	CI-121405 - DSD BR DE9C 10 IMPLEMENTED	A Recipient has total wages greater than zero paid to qualified Providers.	Always	WHTotalWages amount will be reported on the DE-9C; this will match the amount reported in the TotalWagesYear field on the DE-9
11	CI-121406 - DSD BR DE9C 11 IMPLEMENTED	A Recipient has a Provider(s) with both PIT and DIEC.	Always	The PIT taxes are reported on the DE-9C record for only the primary SEIN (not the DE-9C record for the DIEC SEIN)
12	CI-121407 - DSD BR DE9C 12 IMPLEMENTED	A Recipient has a Payroll record of a negative net tax amount.	Always	DE-9C record displays a default amount of 0.00 for corresponding tax field (cannot be negative); if all values are 0.00, NoPayroll indicator is set
13	CI-121408 - DSD BR DE9C 13 IMPLEMENTED	A Recipient has a Payroll record of taxes without corresponding subject wages.	Always	DE-9C record displays a default amount of 0.00 for corresponding tax field; if all values are 0.00, NoPayroll indicator is set
14	CI-121409 - DSD BR DE9C 14 IMPLEMENTED	A Recipient has UI tax calculated in the reporting quarter. OR A Recipient does not have UI tax calculated in the reporting quarter, but it has been calculated in the calendar year (signifying that maximum threshold met.)	Always	WagePlan code of 'S' is reported for all Providers on the DE-9C record
15	CI-121410 - DSD BR DE9C 15 IMPLEMENTED	A Recipient does not have UI tax calculated in the reporting quarter or calendar year, and DI tax has been collected in the reporting quarter.	Always	WagePlan code of 'J' is reported for all Providers on the DE-9C record
16	CI-121411 - DSD BR DE9C 16 IMPLEMENTED	A Recipient does not have UI tax calculated in the reporting quarter or calendar year, and DI tax has not been collected in the reporting quarter, and PIT has been withheld.	Always	WagePlan code of 'P' is reported for all Providers on the DE-9C record
17	CI-121412 - DSD BR DE9C 17 IMPLEMENTED	A Recipient has a PIT-only account and the wages are below threshold.	Always	WHTotalWages amount is set to zero

Tasks/Notifications

N/A

Screens

N/A

Reports

N/A

DSD 18/Payroll – Tax and Contribution/Business Process /External Interfaces/DE-9 Interface - TXQS107D

CI	Document Name
CI-69704 - DSD EINTF DE 9 Interface TXQS107D IMPLEMENTED	DSD_EINTF_DE_9_Interface_TXQS107D.doc

The purpose of this interface is to provide transmission of information to the EDD for tax reporting. This information will contain the Quarterly Reconciliation Statement (DE-9) for each qualified employer as defined by EDD. This statement will contain UI wages, SDI wages, UI contributions paid, ETT and SDI contributions paid, as well as PIT withholding taxes due for each Recipient. File layout and transmission will meet the requirements established by EDD and provided in the DE 545 FSET Implementation Guide located at the following link: http://www.edd.ca.gov/pdf_pub_ctr/de545.pdf

Data Elements of Interface

Table – Table Mapping for DE 9

Source: PAYROLL		Target: DE-9 File			
Table Name	Field Name	Field Name	Data Type (Format-Length)	Description (Data Transformation Rules)	R/O (Required or Optional)
N/A	N/A	ContentLocation	String (30)	Default: "IHSS"	R
N/A	N/A	ReturnQuarter	String (1) Q (Q = calendar quarter number)	The quarter for which the return is filed. Determined by batch job parameter.	R
N/A	N/A	Taxyear	String (4) CCYY	The tax year for which the return is filed. Determined by batch job parameter.	R
N/A	N/A	SoftwareID	String (10)	Default: "00000000"	R
N/A	N/A	ReturnType	String (10)	Default: "StateAnnual"	R
N/A	N/A	FilingAction	String (10)	Default: "Original"	R
N/A	N/A	TypeTIN	String (10)	Default: "FEIN"	R
TAXING_ENTITY	FED_TAX_ID	TINTypeValue	String (9)	Default: "942629822"	R
N/A	N/A	TypeStateEIN	String (10)	Default: "WithholdingAccountNo"	R
TAXING_ENTITY	ST_TAX_ID_2 The primary SEIN will be taken from the first eight characters of the string, the DIEC SEIN will be taken from the next eight characters. SEIN 1^SEIN 2	StateEINValue	String (8)	Recipient's SEIN	R
N/A	N/A	StateEINExtension	String (10)	Default: "000"	R
N/A	N/A	State Code	String (2)	Default: "CA"	R
TAXING_ENTITY	CNTAC_FIRST_NM and CNTAC_LAST_NM	BusinessName	String (50)	Recipient's Name	R
TAXING_ENTITY	STR_1_NM	AddressLine1	String (75)	Recipient's Street Number and Name	R
TAXING_ENTITY	CITY_NM	City	String (28)	Recipient's City	R
TAXING_ENTITY	ST_CD	State	String (2)	Recipient's State	R
TAXING_ENTITY	ZIP	ZIPCode	String (10)	Recipient's ZIP Code	R
TAXING_ENTITY	PH_NO	PhoneNumber	String (30)	Recipient's Phone Number	O

N/A	N/A	NoPayrollAnnualElect	Checkbox	If there is no quarterly payroll for this Recipient then this field is populated with 'X'. If not indicated, the tag will not display.	O
N/A	N/A	DateFinalWagesPaid	String (11)	The last day of the reporting quarter Will be populated only if FinalPayrollReturnElect indicated on DE9C. CCYY-MM-DD	O
PAY_SUM	QTRLY_X_CASH_PY_AM where (SUBSTR(CATG_CD, 2, 1) IN ('P', 'F', 'J', 'D') OR CATG_CD IN ('GCP', 'GCF', 'GCJ'))	TotalWagesYear	String (10)	Sum of gross wages for the quarter for all eligible Providers on the Recipient case. Wages paid for tax-exempt adjustments are not included.	R
DED_SUM	DED_1ST_QTR_AM where Catg_Cd in ('2STTX', '2STXA', '2STXC')	TotalIncomeTaxWithheld	String (10)	Sum of PIT withheld for the quarter for all Providers on the Recipient case.	R
EMPLYR_FICA	CVRD_WAGES_XST_QTR where FICA_ID = 'S'	UITaxableWagesYear	String (10)	Sum of UI-subject wages for the quarter for all Providers on the Recipient case.	R
TAXING_ENTITY	ST_TAX_ID_4 SUI will be taken from the first five characters of the string; ETT will be taken from the last five characters. SUI\ETT	UITaxRate	String (10)	Recipient's UI tax rate	R
EMPLYR_FICA	EMPLR_TX_WH_QX_AM where FICA_ID = 'S'	UITaxYear	String (10)	Sum of SUI calculated for the quarter for all Providers on the Recipient case.	R
TAXING_ENTITY	ST_TAX_ID_4 SUI will be taken from the first five characters of the string; ETT will be taken from the last five characters. SUI\ETT	EmploymentTrainingTaxRate	String (10)	Recipient's ETT tax rate	R
EMPLYR_FICA	EMPLR_TX_WH_QX_AM where FICA_ID = 'E'	EmploymentTrainingTaxesYear	String (10)	Sum of ETT calculated for the quarter for all Providers on the Recipient case.	R
EMPLYR_FICA	CVRD_WAGES_XST_QTR where FICA_ID = 'D' (SDI) or 'C' (DIEC)	DITaxableWagesYear	String (10)	Sum of DI-subject wages for the quarter for all Providers on the Recipient case.	R
DED_PLAN	DED_PC	DITaxRate	String (10)	SDI tax rate for reporting quarter; applies to all Recipients.	R
EMPLYR_FICA	EMPL_TX_WH_QX_AM where FICA_ID = 'D' (SDI) or 'C' (DIEC)	DITaxesYear	String (10)	Sum of SDI or DIEC withheld for the quarter for all Providers on the Recipient case.	R
N/A	N/A	TotalContributionsYear	String (10)	The amount due to EDD for the reporting quarter – sum of TotalIncomeTaxWithheld, UITaxesYear, EmploymentTrainingTaxesYear and DITaxesYear.	O
N/A	N/A	TotalCreditsYear	String (10)	The amount due to EDD for the reporting quarter – sum of TotalIncomeTaxWithheld, UITaxesYear, EmploymentTrainingTaxesYear and DITaxesYear.	O
N/A	N/A	WHBalanceDue	String (10)	Default: '0.00'	R

Trigger Events

This process is AutoSys batch script controlled. The batch script is set to run in the quarterly cycle.

Processing Criteria

The DE-9 shall accurately report employer payment data at the SEIN level, and report net amounts (including account adjustments within the quarter) prior to submission of the DE-88.

See the DE-9C for specifications on the two-year rule.

In addition to inactivating because of the 2-year rule, the DE-9 job will report a Recipient's SEIN as out of business if the following is true:

- DIEC enrollment ended

If the Recipient has total wages greater than zero, Total Subject wages will be reported on the DE-9; this will match the amount reported on the DE-9C. See the DE-9C for specifications on the three-year rule.

Advantage processing functionality will create zipped files for the DE34, DE88, DE9 and DE9C that contain no more than 5,000 records each. These zipped files are transmitted by BPM to the FSET gateway.

Error Processing

The batch job will generate an error log specific to this job and will contain the custom error messages listed below. The log will be monitored and if an error is detected, an appropriate resource will be notified the next business day.

Table – Error Codes

Error No.	CI ID	Error Code	Description
1	CI-121425 - DSD EP DE9 01 IMPLEMENTED	ERROR	DE9 – FICA lookup failed
2	CI-121426 - DSD EP DE9 02 IMPLEMENTED	ERROR	The UI, ETT, DI, or PIT taxes collected were greater than zero but the wages were equal to zero

Two sets of acknowledgement files are generated for the DE-9. ACK1 files acknowledge the DE-9 transmission; ACK2 files report success or failure of individual account information. Steps for trouble-shooting ACK2 errors can be found in the Operations Manual.

Below are the possible FSET DE 9 error codes from the FSET Implementation Guide.

Table – DD DE 9 FSET Error Codes

Error Number	Error Code (Rule #)	Error Description
1	2	Invalid Tax Year: Year 200 Not valid for DE 7.
2	2.1	Invalid Tax Year: Year cannot be prior to 1995.
3	2.11	Invalid Year/Quarter: Cannot be a future quarter or more than 6 quarters past
4	2.13	Invalid Account Number.
5	2.36	`Invalid Wage Field: TotalWages Year less than UI or DI taxable wages.
6	2.38	UITaxableWagesYear cannot equal 0 if UITaxesYear > 0.
7	2.39	Invalid Wage Field: UITaxableWagesYear cannot be greater than 0 if UITaxesYear = 0.
8	2.42	Invalid Tax Field: UITaxesYear cannot be greater than UITaxableWagesYear.
9	2.44	Invalid Tax Field: UITaxableWagesYear and UITaxesYear not within limits.
10	2.47	Invalid Tax Field: DITaxableWagesYear and DITaxesYear not within limits.
11	2.48	Invalid Wage Field: DITaxableWagesYear cannot be greater than zero if DITaxesYear = 0.
12	2.49	Invalid Wage Field: DITaxableWagesYear cannot be zero if DITaxesYear is greater than 0.
13	2.51	Invalid Wage Field: DITaxableWagesYear cannot be greater than DITaxableWagesYear.
14	2.53	Invalid tax Field: TotalIncomeTaxWithheld cannot be greater than TotalWagesYear, unless the account is subject to PIT only
15	2.54	Invalid Tax Field: TotalContributionsYear cannot be zero unless NoPayrollElect tag is included.
16	2.55	Invalid Tax Field: TotalContributionsYear must be equal to DITaxesYear + UITaxesYear + EmploymentTrainingTaxesYear + TotalIncomeTaxWithheld.
17	2.58	Invalid Tax Field: WHBalanceDue not equal to TotalContributionsYear - TotalCreditsYear
18	2.59	Invalid Tax Field: AmountOfOverpayment not equal to TotalCreditsYear - TotalContributionsYear
19	3	Invalid Account Type: This account is not subject to file a DE7 or DE9.
20	3.1	Invalid Tax Field: UITaxesYearUITaxesYear must be zero if account is not subject to UI.
21	3.3	Invalid Tax Field: DITaxesYearDITaxesYear must be zero if account is not subject to DI.
22	3.4	Invalid Tax Field: TotalIncomeTaxWithheld must be zero if account is not subject to PIT.
23	3.5	If account is subject to DI or ETT, or UI is tax-rated or reimbursable, then TotalWagesYear must be greater than zero, unless NoPayrollAnnualElect tag is included.

24	3.7	Invalid Tax Field: TotaWagesYearTotalWagesYear and TotalIncomeTaxWithheld must be zero if the NoPayrollAnnualElect tag is included.
25	4	Duplicate File: This file has already been transmitted and processed with original StateReturnIdentifier: FMMDDYY#####.
26	4	Duplicate File: This file has already been transmitted.
27	93.1	Invalid schema version: Tax Year
28	93.2	Invalid schema xPath - cannot retrieve ReturnType specified
29	94	Various messages will be returned if the XML document is not well-formed
30	96	Empty zipped archive
31	97	Invalid File Extension
32	98	Invalid Zipped Archive
33	99	File Transmission Error
34	201	Various messages will be returned for general schema validation errors

Related Components

Business Process Functions

N/A

Business Flows

N/A

Business Rules

The following Business Rules applies to the DE-9 process:

ID	CI ID	Description	When	Action
1	 CI-121382 - DSD BR DE9 01 IMPLEMENTED	A Recipient has an active SEIN.	Always	The DE-9 record is created
2	 CI-121383 - DSD BR DE9 02 IMPLEMENTED	A Recipient has a SEIN inactivated by the SEIN Inactivation job during the reporting quarter and has had no payroll activity.	Always	The DE-9 record is not created
3	 CI-121384 - DSD BR DE9 03 IMPLEMENTED	A Recipient has been registered as active via the DE-1 Request but the DE-1 Response has not yet been processed.	Always	The DE-9 record is created using the default SEIN
4	 CI-121385 - DSD BR DE9 04 IMPLEMENTED	A Recipient has total wages equal to zero then the No Payroll Annual Elect flag is checked.	Always	Total Subject wages, UI Wages, SDI wages, and PIT withheld must be 0.00 on the DE-9 record
5	 CI-121386 - DSD BR DE9 05 IMPLEMENTED	A Recipient has UITaxesYear amount equal to zero.	Always	UITaxableWagesYear is set to zero on the DE-9 record
6	 CI-121387 - DSD BR DE9 06 IMPLEMENTED	A Recipient has family Provider wages reported with PIT withheld.	Always	Wages are not included in UI/DI Taxable Wages totals.

7	CI-121388 - DSD BR DE9 07 IMPLEMENTED	A Recipient has non-family Provider wages under threshold and no PIT withheld.	Always	Provider and corresponding wage/tax information is not included on the DE-9 record.
8	CI-121389 - DSD BR DE9 08 IMPLEMENTED	A Recipient has total wages greater than zero paid to qualified Providers.	Always	TotalWagesYear amount will be reported on the DE-9; this will match the amount reported in the WHTotalWages field on the DE-9C
9	CI-121390 - DSD BR DE9 09 IMPLEMENTED	A Recipient has a Provider(s) with a DIEC expiration date later than the end of the reporting quarter.	Always	A DE-9 record is created
10	CI-121391 - DSD BR DE9 10 IMPLEMENTED	A Recipient has a Provider(s) with a DIEC expiration date during the reporting quarter.	Always	A DE-9 record will be created to deactivate the Recipient's DIEC SEIN by populating the Date Last Wages Paid field with the last calendar day of the reporting quarter
11	CI-121392 - DSD BR DE9 11 IMPLEMENTED	A Recipient has a Provider(s) with both PIT and DIEC.	Always	The PIT taxes are reported on the DE-9 record for only the primary SEIN (not the DE-9 record for the DIEC SEIN)
12	CI-121393 - DSD BR DE9 12 IMPLEMENTED	A Recipient with a DIEC SEIN pays family wages but no DIEC is withheld.	Always	DITaxableWagesYear field is set to 0.00; this will cause the NoAnnualPayrollYear indicator to be set
13	CI-121394 - DSD BR DE9 13 IMPLEMENTED	A Recipient has a Payroll record of a negative net tax amount.	Always	DE-9 record displays a default amount of 0.00 for corresponding tax field (cannot be negative); if all values are 0.00, NoPayroll indicator is set
14	CI-121395 - DSD BR DE9 14 IMPLEMENTED	A Recipient has a Payroll record of taxes without corresponding subject wages.	Always	DE-9 record displays a default amount of 0.00 for corresponding tax field; if all values are 0.00, NoPayroll indicator is set.

Tasks/Notifications

N/A

Screens

N/A

Reports

N/A

DSD 18/Payroll – Tax and Contribution/Business Process /External Interfaces/EDD Financial Adjustment Interface – TXQS107J

CI	Document Name
 CI-116364 - DSD EINTF EDD Financial Adjustment Interface TXQS107J IMPLEMENTED	DSD_EINTF_EDD_Financial_Adjustment_Interface_TXQS107J.doc

Data Elements of Interface

Table – Table Mapping for Financial Adjustment

Source: PAYROLL		Target: Financial Adjustment File			
Table Name	Field Name	Field Name	Data Type (Format-Length)	Description (Data Transformation Rules)	R/O (Required or Optional)
TAXING_ENTITY	CNTAC_FIRST_NM and CNTAC_LAST_NM	RECIPIENT NAME	String (75)	Recipient's First and Last name. Sample: "John Smith"	R
TAXING_ENTITY	ST_TAX_ID_2 The primary SEIN will be taken from the first eight characters of the string, the DIEC SEIN will be taken from the next eight characters. SEIN 1^SEIN 2	ACCOUNT NUMBER (SEIN)	String (8)	Required. Recipient's SEIN. Sample: "54000000"	R
N/A	N/A	TAX YEAR	String (4)	Year of the adjustments. Sample: "2008"	R
N/A	N/A	QUARTER	Numeric (1)	Values are: 1 – 4 Sample: "2"	R
N/A	N/A	DE88 PAYMENT AMOUNT	Numeric (9,2)	DE 88 payment amount. Sample: "504.76" Calling the DE 88 job to sum the total payment amount of the two taxes codes (see DE88 for more detail)	R
N/A	N/A	TOTAL REFUND AMOUNT	Numeric (9,2)	Total refund amount requested. Sample: "504.76" Summing UI Refund, ETT Refund, SDI Refund, and PIT Refund.	R
DED_DE TL	DED_AM	UI REFUND	Numeric (9,2)	UI portion of refund. Sample: "504.76"	R
DED_DE TL	DED_AM	ETT REFUND	Numeric (9,2)	ETT portion of refund. Sample: "504.76"	R
DED_DE TL	DED_AM	SDI REFUND	Numeric (9,2)	SDI portion of refund. Sample: "504.76"	R
DED_DE TL	DED_AM	PIT REFUND	Numeric (9,2)	PIT portion of refund. Sample: "504.76"	R
N/A	N/A	VOID INDICATOR	String (1)	V = void	R

Trigger Events

This process is AutoSys batch script controlled. The batch script is set to run in the quarterly cycle.

Processing Criteria

The EDD Financial Adjustment job acts a request to EDD for a refund of State taxes paid in a previous quarter. The job will search for warrants voided in the current quarter but that were originally issued in a prior quarter; the job will look back three years. A record will only be created for a Recipient who has an active SEIN. The EDD Financial Adjustment file will contain the Recipient information followed by all the voided warrants that need to be reported. If a Recipient made multiple payments in the quarter, only amounts from voided payment(s) will be reported.

Error Processing

The batch job will generate an error log specific to this job and will contain the custom error messages listed below. The log will be monitored and, if an error is detected, an appropriate resource will be notified the next business day.

Table – Error Codes

Error No.	CI ID	Error Code	Description
1	 CI-121429 - DSD EP FAF 01 	ERROR	Could not retrieve st_tax_id_2 for taxing entity

Related Components

Business Process Functions

N/A

Business Flows

N/A

Business Rules

The following business rules apply to the Financial Adjustment process:

ID	CI ID	Description	When	Action
1	 CI-121413 - DSD BR FAF 01 	A registered, active Recipient has a Provider check issued in a previous quarter and voided in the reporting quarter.	Always	A Financial Adjustment record is created.
2	 CI-121414 - DSD BR FAF 02 	A registered, active Recipient has a Provider check voided in the reporting quarter and the check was issued more than three years from the system application date.	Always	A Financial Adjustment record is not created. (Note: Payments stale-dated at 13 months cannot be voided and will therefore not be included.)

Tasks/Notifications

N/A

Screens

N/A

Reports

N/A

DSD 18/Payroll – Tax and Contribution/Business Process /External Interfaces/EDD Wage Adjustment Interface – TXQS107C

CI	Document Name
 CI-116365 - DSD EINTF EDD Wage Adjustment Interface TXQS107C IMPLEMENTED	DSD_EINTF_EDD_Wage_Adjustment_Interface_TXQS107C.doc

The purpose of this interface is the transmission of information to EDD for wage adjustments. CMIPS will report the wage adjustments by quarter for prior quarters and prior years. This adjustment process should be used when voided warrants (both undeliverable and void/reissue) and Provider (employee) SSN changes are processed in CMIPS across quarters.

SSN changes require one transaction for the prior SSN to adjust the wage and withholding details to zero dollars and a second transaction for the current SSN to move the adjusted dollar amounts to the correct SSN.

Data Elements of Interface

Table – Table Mapping for Wage Adjustment

Source: PAYROLL		Target: Wage Adjustment File			
Table Name	Field Name	Field Name	Data Type (Format-Length)	Description (Data Transformation Rules)	R/O (Required or Optional)
TAXING_ENTITY	CNTAC_FIRST_NM and CNTAC_LAST_NM	RECIPIENT NAME	String (75)	Recipient's First and Last Name concatenated. Sample: "John Smith"	R
TAXING_ENTITY	ST_TAX_ID_2 The primary SEIN will be taken from the first 8 characters of the string, the DIEC SEIN will be taken from the next 8 characters. SEIN 1SEIN 2	ACCOUNT NUMBER (SEIN)	String (8)	Recipient's SEIN. Sample: "54000000"	R
N/A	N/A	YEAR/QUARTER	String (3)	Year and quarter of the wage adjustments. Format YYQ Sample value: "082"	R
Provider/Employee Detail Information Segment will be repeated for each Provider of the identified Recipient with a reported wage adjustment or SSN change					
EMPL	EMPL_SSN	EMPLOYEE SOCIAL SECURITY NUMBER	String (9)	Provider's SSN. Sample: "123456789"	R
EMPL	EMPL_LAST_NM	EMPLOYEE LAST NAME	String (50)	Provider's Last Name	R
EMPL	EMPL_FIRST_NM	EMPLOYEE FIRST NAME	String (20)	Provider's First Name	R
EMPL	EMPL_MIDDLE_NM	EMPLOYEE MIDDLE INITIAL	String (1)	Provider's Middle Name	R
FICA	CVRD_WAGES_X_QTR where Fica_Id = 'D'	EMPLOYEE TOTAL SUBJECT WAGE	Numeric (9,2)	Sum of quarterly subject wages for the identified Provider.	R
PAY_SUM	QTRLY_X_CSH_PY_AM if Employee Total Subject Wages > 1 where (SUBSTR(CATG_CD, 2, 1) IN ('P', 'F', 'J', 'D') OR CATG_CD IN ('GCP', 'GCF', 'GCJ')) OR SB_GRSS_XST_QTR_AM if Employee Total Subject Wages < 1	EMPLOYEE PIT WAGES	Numeric (9,2)	Sum of PIT-subject wages for the quarter for the identified Provider.	R
DED_SUM	DED_XST_QTR_AM, where Catg_Cd in ('2STTX', '2STXA', '2STXC')	EMPLOYEE PIT WITHHELD	Numeric (9,2)	Sum of PIT withheld for the quarter for the identified Provider.	R

Trigger Events

This process is AutoSys batch script controlled. The batch script is set to run in the quarterly cycle.

Processing Criteria

The EDD Wage Adjustment job will search for warrants voided in the current quarter but that were originally issued in a prior quarter. The job will look back six quarters. A record will only be created for a Recipient that has an active SEIN. The EDD Wage Adjustment file will contain the Recipient information followed by all the voided warrants, listed and labeled by quarter, that need to be reported.

The second part of the EDD Wage Adjustment job will generate a record if any of the following criteria is true:

- A Provider's first or last name has changed
- A Provider's Social Security Number has changed

The Recipient's information will be reported followed by any Provider, listed and labeled by quarter, who had a name or SSN change. The first line of the Provider will have the old name and old SSN with zero wage values; the next line will have the correct name and SSN with the correct wage values. The record will only go back six quarters and any quarters that had no wages will not be reported.

Error Processing

The batch job will generate an error log specific to this job and will contain the custom error messages listed below. The log will be monitored and if an error is detected, an appropriate resource will be notified the next business day.

Table – Error Codes

Error No.	CI ID	Error Code	Description
1	 CI-121430 - DSD EP WAF 01 IMPLEMENTED	ERROR	Could not retrieve st_tax_id_2 for taxing entity

Related Components

Business Process Functions

N/A

Business Flows

N/A

Business Rules

The following Business Rules applies to the Wage Adjustment process:

ID	CI ID	Description	When	Action
1	 CI-121416 - DSD BR WAF 01 IMPLEMENTED	A registered, active Recipient has a Provider check issued in a previous quarter and voided in the reporting quarter.	Always	A Wage Adjustment record is generated. (Note: Payments stale-dated at 13 months cannot be voided and will therefore not be included.)
2	 CI-121417 - DSD BR WAF 02 IMPLEMENTED	A registered, active Recipient has a Provider check voided in the reporting quarter and the check was issued more than six quarters from the system application date.	Always	A Wage Adjustment record is not generated.
3	 CI-121418 - DSD BR WAF 03 IMPLEMENTED	A registered, active Recipient has a Provider with a first or last name change in the reporting quarter and wages paid in a previous quarter.	Always	A Wage Adjustment record is generated.
4	 CI-121419 - DSD BR WAF 04 IMPLEMENTED	A registered, active Recipient has a Provider with an SSN change in the reporting quarter and wages paid in a previous quarter.	Always	A Wage Adjustment record is generated.

Tasks/Notifications

N/A

Screens

N/A

Reports

N/A

DSD 18/Payroll – Tax and Contribution/Business Process /External Interfaces/Statements –TXMR107K

CI	Document Name
 CI-116402 - DSD EINTF Statements TXMR107K IMPLEMENTED	DSD_EINTF_Statements_TXMR107K.doc

EDD will send a file monthly for the accounts that are out of balance.

Operations or back office staff will intervene at this time to review the account statements to investigate why they are out of balance.

Data Elements of Interface

Table – Table Mapping for Statement File

Source: Statement Input File		Target: Statement Output File			
File Name	Field Name	Field Name	Data Type (Format-Length)	Description (Data Transformation Rules)	R/O (Required or Optional)
TXMR107K	Account #	Account #	String (8)	This value will be extracted from the input file from Position 1-8	R
TXMR107K	Statement Date	Statement Date	String (8)	This value will be extracted from the input file from Position 9-16	R
TXMR107K	Filing Period	Filing Period	String (8)	This value will be extracted from the input file from Position 17-24	R
TXMR107K	Tax	Tax	Numeric (10,2)	This value will be extracted from the input file from Position 25-34	R
TXMR107K	Penalty	Penalty	Numeric (10,2)	This value will be extracted from the input file from Position 35-44	R
TXMR107K	Interest	Interest	Numeric (10,2)	This value will be extracted from the input file from Position 45-54	R
TXMR107K	Credit	Credit	Numeric (10,2)	This value will be extracted from the input file from Position 55-64	R
TXMR107K	Balance	Balance	Numeric (10,2)	This value will be extracted from the input file starting at Position 65	R

Trigger Events

This process is AutoSys batch script controlled. The batch script is set to run in the monthly cycle.

Processing Criteria

This batch process does not update any Payroll tables. The file gets transformed to a CSV file from a positional file.

Error Processing

N/A

Related Components

Business Process Functions

N/A

Business Flows

N/A

Business Rules

The following business rules apply to the EDD Statement process:

ID	CI ID	Description	When	Action
1	 CI-121415 - DSD BR SF 01 IMPLEMENTED	A flat file with statement information is received from EDD	Always	File is transformed to a CSV file

Tasks/Notifications

N/A

Screens

N/A

Reports

N/A

DSD 18/Payroll – Tax and Contribution/Business Process /External Interfaces/UI Rate Return File Request – TXNS107L

CI	Document Name
CI-116354 - DSD EINTF UI Rate Return File Request TXNS107L IMPLEMENTED	DSD_EINTF_UI_Rate_Return_File_Request_TXNS107L.doc

CMIPS will generate an UI Rate return file. The file format will be the same as the DE-1 Request.

The Update Code field will be marked as 'U' and will consist of all the active employers in CMIPS.

Data Elements of Interface

Table – Table Mapping for UI Rate Request

Source: PAYROLL		Target: UI Rate File			
Table Name	Field Name	Field Name	Data Type (Format-length)	Description (Data Transformation rules)	R/O (Required or optional)
TAXING_ENTITY	CNTAC_LAST_NM	Last-Nam	String (20)	Recipient's Last Name	R
TAXING_ENTITY	CNTAC_FIRST_NM	First-Nam	String (20)	Recipient's First Name	R
TAXING_ENTITY	CNTAC_MIDDLE_NM	Mid-Nam	String (15)	Recipient's Middle Name	R
N/A	N/A	Ico-Nam	String (28)		O
N/A	N/A	Ico-Strt-Adrs	String (28)		O
N/A	N/A	Ico-City-Adrs	String (20)		O
N/A	N/A	Ico-St-Adrs	String (2)		O
N/A	N/A	Ico-Zp-Adrs	String (5)		O
TAXING_ENTITY	STR_1_NM	Strt-Adrs	String (28)	Recipient's Street Number and Name	R
TAXING_ENTITY	CITY_NM	City-Adrs	String (20)	Recipient's City	R
TAXING_ENTITY	ST_CD	St-Adrs	String (2)	Recipient's State	R
TAXING_ENTITY	ZIP	Zip-Adrs	String (5)	Recipient's ZIP Code	R
TAXING_ENTITY	FED_TAX_ID	Er-FEIN-Num	String (9)	Default: "942629822" This is the same value for every Recipient. California is viewed as the Employer from a Federal perspective so all Recipients share the same number.	R
TAXING_ENTITY	CTY_CD	Er-Cnty-Cd	String (3)	The two-digit code that represents the county that manages the Recipient case.	R
TAXING_ENTITY	ST_TAX_ID_2 The primary SEIN will be taken from the first eight characters of the string, the DIEC SEIN will be taken from the next eight characters. SEIN 1^SEIN 2 CTY_CD	Agent-IHSS-Id-Data	String (49)	This will contain the SEIN in positions 3-10, the District Office in positions 13-14, the EDD rate flag in position 15, and CMIPSII in positions 43-49. The CMIPSII part is used as an indicator to EDD that this file is from the new system.	R
TAXING_ENTITY	ST_TAX_ID_1	Own-SSN-Num	String (9)	Recipient's SSN Lookup the first 9 characters of the ST_TAX_ID_1 field, which represents the SSN value.	R

N/A	N/A	Regn-Type	String (1)	1 = A family member electing SDI coverage. If field is blank, it is not a DIEC account.	R
N/A	N/A	Update-Code	String (1)	U= UI Rate Change	R
TAXING_ENTITY	ST_TAX_ID_2 The primary SEIN will be taken from the first eight characters of the string, the DIEC SEIN will be taken from the next eight characters. SEIN 1^SEIN 2	Account-Number	String (20)	Recipient's SEIN	R
N/A	N/A	Reinstat e-Date	String (8)	CCYYMMDD This field is used for the registration file only; it will not be used in this interface.	O
TAXING_ENTITY	ST_TAX_ID_3	Own-Birth-Dt	String (8)	Recipient's Birth Date CCYYMMDD	R
PAY_SUM	QTRLY_X_CASH_PY_AM where (SUBSTR(CATG_CD, 2, 1) IN ('P', 'F', 'J', 'D') OR CATG_CD IN ('GCP', 'GCF', 'GCJ')	Total-Wages	String (11)	Sum of gross wages paid for the quarter to-date for all Providers on the Recipient case. Wages paid for tax-exempt adjustments are not included.	R
DED_SUM	DED_XST_QTR_AM where Catg_Cd in ('2STTX', '2STXA', '2STXC')	PIT-Withheld	String (11)	Sum of PIT withheld for the quarter to-date for all Providers on the Recipient case.	R
PAY_SUM	QTRLY_X_CASH_PY_AM where (SUBSTR(CATG_CD, 2, 1) IN ('F', 'D') OR CATG_CD IN ('GCF'))	Exempt-Wages-Amt	String (11)	Sum of exempt wages (for Family or Domestic Partner Providers) paid for the quarter to-date for all Providers on the Recipient case.	R
N/A	N/A	Effective-Quarter	String (5)	Quarter during which file was generated. Determined by Advantage HRM application date.	R

Trigger Events

This process is AutoSys batch script controlled. The batch script is set to ad hoc upon request.

Processing Criteria

The UI Rate Request selects all the Recipients with active, non-DIEC SEINs in the system and sends the rate inquiry to EDD.

If the address field length is greater than 28 characters, the field will be truncated to 28 characters (this is high limit set for this field).

If the city field length is greater than 20 characters, the field will be truncated city to 20 characters (this is high limit set for this field).

Error Processing

The batch job will generate an error log specific to this job and will contain the custom error messages listed below. The log will be monitored and if an error is detected, an appropriate resource will be notified the next business day.

Table – Error Codes

Error No.	CI ID	Error Code	Description
1	CI-121420 - DSD EP AUI Request 01 IMPLEMENTED	ERROR	Failed to Process record for Taxing Entity

Related Components

Business Process Functions

N/A

Business Flows

N/A

Business Rules

The following business rules apply to the UI Rate Request process:

ID	CI ID	Description	When	Action
1	 CI-121356 - DSD BR AUI Request 01 IMPLEMENTED	A registered, active Recipient with a non-DIEC SEIN	Always	UI Rate Request record is created with UpdateCode value of 'U'
2	 CI-121357 - DSD BR AUI Request 02 IMPLEMENTED	A registered, inactive Recipient with a non-DIEC SEIN	Always	UI Rate Request record is not created

Tasks/Notifications

N/A

Screens

N/A

Reports

N/A

DSD 18/Payroll – Tax and Contribution/Business Process /External Interfaces/UI Rate Return File Response – TXNR107M

CI	Document Name
 CI-116355 - DSD EINTF UI Rate Return File Response TXNR107M IMPLEMENTED	DSD_EINTF_UI_Rate_Return_File_Response_TXNR107M.doc

This UI Rate Return file contains UI and ETT rates. Processing this file will update the Taxing Entity record with the new rates and enroll eligible case-providers with the new rates. A case-provider is considered eligible if the relationship to the Recipient is established as non-family (i.e. provider is not identified as a Parent, Spouse, Registered Domestic Partner, or Minor Child under 18.)

Data Elements of Interface

Table – Table Mapping for UI Rate Response

Source: UI Rate		Target: PAYROLL			
File Name	Field Name	Field Name	Data Type (Format-Length)	Description (Data Transformation Rules)	R/O (Required or Optional)
TXAR 107M	Own-Last-Nam	TAXING_ENTITY.CNTAC_LAST_NM	String (20)	Recipient's last name	R
TXAR 107M	Own-First-Nam	TAXING_ENTITY.CNTAC_FIRST_NM	String (20)	Recipient's first name	R
TXAR 107M	Own-Mid-Nam	TAXING_ENTITY.CNTAC_MIDDLE_NM	String (15)	Recipient's middle name	R
TXAR 107M	Care-Of-Mail-Nam	N/A	N/A	N/A	N/A
TXAR 107M	Care-Of-Nam	N/A	N/A	N/A	N/A
TXAR 107M	Care-Of-Strt-Adrs	N/A	N/A	N/A	N/A
TXAR 107M	Care-Of-City	N/A	N/A	N/A	N/A
TXAR 107M	Recip-Strt-Adrs	TAXING_ENTITY.STR_1_NM	String (22)	Recipient's street address	R
TXAR 107M	Recip-City-Adrs	TAXING_ENTITY.CITY_NM	String (14)	Recipient's city name	R
TXAR 107M	Recip-St-Adrs	TAXING_ENTITY.ST_CD	String (2)	Recipient's state	R
TXAR 107M	Recip-Zip-Adrs	TAXING_ENTITY.ZIP	String (5)	Recipient's ZIP code	R
TXAR 107M	FEIN-Num	TAXING_ENTITY.FED_TAX_ID	String (9)	Default: "942629822" This is the same value for every Recipient. California is viewed as the Employer from a Federal perspective so all Recipients share the same number.	R
TXAR 107M	Agent-Id-Info	N/A	N/A	N/A	N/A
TXAR 107M	Own-SSN-Num	TAXING_ENTITY.ST_TAX_ID_1	String (9)	Recipient's SSN Lookup the first 9 characters of the ST_TAX_ID_1 field, which represents the SSN value.	R
TXAR 107M	Acct-Num	TAXING_ENTITY.ST_TAX_ID_2	String (7)	First seven digits of the Recipient's SEIN	R
TXAR 107M	Acct-Ck-Digit	TAXING_ENTITY.ST_TAX_ID_2	String (1)	Last digit of the Recipient's SEIN	R
TXAR 107M	Fips-Cnty-Cd	N/A	N/A	N/A	N/A

TXAR 107M	Industry-Cd	N/A	N/A	N/A		N/A
TXAR 107M	Ownship-Cd	N/A	N/A	N/A		N/A
TXAR 107M	Auxiliary-Cd	N/A	N/A	N/A		N/A
TXAR 107M	Tax-Rate	TAXING_ENTITY. ST_TAX_ID_4	String (5)	Converted to Payroll format of 5 characters 05.034 SUI derived from the first five characters of the string. ETT derived from the last five characters. SUI^ETT		R
TXAR 107M	Ett-Rate	TAXING_ENTITY. ST_TAX_ID_4	String (5)	Converted to Payroll format of 5 characters 0.034 SUI derived from the first five characters of the string. ETT derived from the last five characters. SUI^ETT		R
TXAR 107M	Etdo-Num	N/A	N/A	N/A		N/A
TXAR 107M	Process-Dt	N/A	N/A	N/A		N/A
TXAR 107M	Own-Birth-Dt	N/A	N/A	N/A		N/A
TXAR 107M	Total-Wages	N/A	N/A	N/A		N/A
TXAR 107M	PIT-Withheld	N/A	N/A	N/A		N/A
TXAR 107M	UI-Reptg-Cd	N/A	N/A	N/A		N/A
TXAR 107M	DI-Reptg-Cd	N/A	N/A	N/A		N/A
TXAR 107M	PIT-Reptg-Cd	N/A	N/A	N/A		N/A
TXAR 107M	ETT-Reptg-Flg	N/A	N/A	N/A		N/A
TXAR 107M	Exempt-Wages-Amt	N/A	N/A	N/A		N/A

Transaction Trigger Events

This process is AutoSys batch script controlled. The system runs the batch script on request after Advantage has received the UI Rate Response file.

Processing Criteria

The Advantage UI Rate Response job reads and processes the UI Rate Response file supplied by EDD; this file is sent in response to the UI Rate Request job. The matching criterion for this job is the Recipient's SSN sent on the file.

If the response file provides a change to either the UI or ETT rate (including an effective date in the future) as displayed on the Taxing Entity record in the State Tax Id 4 field, the job updates the rate(s) displayed as of the first day of the current year. In addition, the job creates Enrollment (ENRL) documents using a static date range of 1/1/2007 - 12/31/9999 to enroll eligible Case-Providers in the new alternate tax rates. A Case-Provider is considered eligible if the relationship to the Recipient is established with a current or future date as non-family (i.e. provider is not identified as a Parent, Spouse, Registered Domestic Partner, or Minor Child under 18.)

If the Run Type job parameter indicates "1=Ad Hoc with STRG," the job will also create Supplemental Trigger (STRG) documents for the same providers. The STRG allows employer taxes to be recalculated with the newer rates during the next payroll run. If the Run Type job parameter indicates "2=Annual no STRG", then the recalculation will occur with the next payment processed.

Error Processing

The batch job will generate an error log specific to this job and will contain the custom error messages listed below. The log will be monitored and if an error is detected, an appropriate resource will be notified the next business day.

Table – Error Codes

Error No.	CI ID	Error Code	Description
1	 CI-121421 - DSD EP AUI Response 01 IMPLEMENTED	ERROR	No Match found on SSN

Related Components

Business Process Functions

N/A

Business Flows

N/A

Business Rules

The following business rules apply to the UI Rate Response process:

ID	CI ID	Description	When	Action
1	 CI-121358 - DSD BR AUI Response 01 IMPLEMENTED	EDD sends a UI Rate Response record with UI and ETT rates of zero/zero.	Always	No change will be made to the rates in payroll (both rates being zero /zero signifies a DI-rated account); the last known UI and ETT rates will continue to display
2	 CI-121359 - DSD BR AUI Response 02 IMPLEMENTED	EDD sends a UI Rate Response record with UI and ETT rates not zero/zero and not equal to existing rates displayed on the Recipient taxing entity record.	Always	The job updates the recipient taxing entity record (State Tax Id 4) with the new rates and creates new ENRL documents using the 1/1/2007 - 12/31/9999 date range to enroll eligible Provider(s) assigned to the taxing entity with the new rates.

Tasks/Notifications

N/A

Screens

N/A

Reports

N/A

DSD 18/Payroll – Tax and Contribution/Business Process /External Interfaces/W-2 – TXNS701A

CI
 CI-116409 - DSD EINTF W 2 TXAS701A IMPLEMENTED

The purpose of this interface is to provide transmission of W-2s to the Social Security Administration (SSA). The W-2 information will be used in the tax reporting process. A W-2 will be created for employees within the CMIPS system who received payment in the previous year.

Data Elements of Interface

This is a Software as a Service (SaaS) included item. Configurable items are defined on the Tax Reporting Description (TAXD), Tax Reporting (TAXR), and /or Site Specific Parameters (SPAR) tables. Data Elements are determined by the IRS and SSA and updated each year in Advantage with the current tax patch. Electronic file lay out can be found at <https://www.ssa.gov/employer/EFW2&EFW2C.htm> and current form information is located at <https://www.irs.gov/pub/irs-pdf/fw2.pdf>.

Trigger Events

This process is AutoSys batch script controlled. The batch script is set to run with the year-end processing.

Processing Criteria

Please refer to the Operations Plan for additional details.

Error Processing

N/A; Out of the box.

Related Components

Business Process Functions

N/A

Business Flows

N/A

Business Rules

N/A

Tasks/Notifications

N/A

Screens

N/A

Reports

N/A

DSD 18/Payroll – Tax and Contribution/Business Process /External Interfaces/W-2C – TXNS701B

CI	Document Name
 CI-116408 - DSD EINTF W 2C TXNS701B IMPLEMENTED	DSD_EINTF_W_2C_TXNS701B.doc

The purpose of this interface is to provide transmission of the W-2C. The W-2C is used to correct information on the W-2. The W-2C will be created when a change has occurred in an employee's information.

Data Elements of Interface

This is a COTS OOTB generated IRS and SSA form. Data Elements are determined by the IRS and SSA and updated each year in Advantage with the current tax patch. Electronic file lay out can be found at <https://www.ssa.gov/employer/EFW2&EFW2C.htm> and current form information is located at <https://www.irs.gov/pub/irs-pdf/fw2.pdf>.

Trigger Events

This process is AutoSys batch script controlled. The batch script is set to run at the end of every year.

Processing Criteria

N/A

Error Processing

N/A; Out of the box.

Related Components

Business Process Functions

N/A

Business Flows

N/A

Business Rules

N/A

Tasks/Notifications

N/A

Screens

N/A

Reports

N/A

DSD 18/Payroll – Tax and Contribution/Business Process /External Interfaces/Quarterly Provider Wage Report

CI	Document Name
 CI-117890 - DSD EINTF Quarterly Provider Wage Report IMPLEMENTED	DSD_EINTF_Quarterly_Provider_Wage_Report.doc

This is the quarterly wage report generated quarterly for EDD purposes.

Data Elements of Interface

For more details refer to Section 18.2.13.5 of this document.

Trigger Events

N/A

Processing Criteria

N/A

Error Processing

N/A

Related Components

N/A

Business Process Functions

N/A

Business Flows

N/A

Business Rules

N/A

Tasks/Notifications

N/A

Screens

N/A

Reports

N/A

DSD 18/Payroll – Tax and Contribution/Business Process /External Interfaces/TXQR107N – SEIN Inactivation

CI	Document Name
CI-507505 - DSD EINTF SEIN Inactivation TXQR107N IMPLEMENTED	DSD_EINTF_SEIN_Inactivation_TXQR107N.doc

The purpose of this interface is to provide transmission of information from the EDD to CMIPS. This file contains the notification of EDD SEIN inactivation. CMIPS will process this information to deactivate a Recipient subject employer account so that EDD and CMIPS accounts are in sync.

Data Elements of Interface

Table – Table Mapping for SEIN Inactivation

Source: SEIN Inactivation File		Target: PAYROLL			
File Name	Field Name	Field Name	Data Type (Format-Length)	Description (Data Transformation Rules)	R/O (Required or Optional)
TXQR107N	Own-Last-Nam	TAXING_ENTITY.CNTAC_LAST_NM	String (20)	Recipient's last name	R
TXQR107N	Own-First-Nam	TAXING_ENTITY.CNTAC_FIRST_NM	String (20)	Recipient's first name	R
TXQR107N	Own-Mid-Nam	TAXING_ENTITY.CNTAC_MIDDLE_NM	String (15)	Recipient's middle name	O
TXQR107N	Own-SSN-Num	TAXING_ENTITY.ST_TAX_ID_1	String (9)	Recipient's SSN Lookup the first 9 characters of the ST_TAX_ID_1 field, which represents the SSN value.	R
TXQR107N	Acct-Num	TAXING_ENTITY.ST_TAX_ID_2	String (7)	This is the first seven digits of the Recipient's SEIN	R
TXQR107N	Acct-Ck-Digit	TAXING_ENTITY.ST_TAX_ID_2	String (1)	This is the last digit of the Recipient's SEIN	R
TXQR107N	Subj-Qtr-Prd	N/A	String (5)	Effective period of inactivation; this will be the quarter prior to file creation. Values are: 20YY/1 20YY/2 20YY/3 20YY/4	R
TXQR107N	Process-Dt	N/A	String (8)	Date file created by EDDYYYYMMDD	R
TXQR107N	DI-Reptg-Cd	ST_TAX_ID_2, COMPUTER	String (1)	If DI-Reptg-Cd = "E" then deactivate the DIEC SEIN in computer field.	R

Transaction Trigger Events

This process is AutoSys batch script controlled. The batch script is set to run in a quarterly cycle.

Processing Criteria

The SEIN Inactivation job will read the input file that is supplied by EDD. The matching criteria for the SEIN Inactivation are the Recipient's SEIN supplied on the file (Account Number + Account Check Digit) and Social Security number. If a valid Recipient SSN has not been entered in CMIPSII (displays as 000-00-0000) the matching criterion is SEIN only. Inactivation process of subject employer accounts will also be applied to all of a Recipient's cases if multiple are found.

Error Processing

The batch job will generate an error log specific to this job and will contain the custom error messages listed below. The log will be monitored and if an error is detected, an appropriate resource will be notified the next business day.

Table – Error Codes

Error No.	CI ID	Error Code	Description
1	 CI-507507 - DSD EM SEIN IA 01 IMPLEMENTED	ERROR	No Match found on SSN and SEIN

Related Components

Business Process Functions

N/A

Business Flows

N/A

Business Rules

The following business rules apply to the SEIN Inactivation job:

ID	CI ID	Description	When	Action
1	 CI-507506 - DSD BR SEIN IA 01 IMPLEMENTED	A Recipient account (SEIN) and SSN are reported by EDD on the Inactivation file.	Always	The status of the SEIN is updated to 'I' (inactive) as of the first day of the calendar quarter following the effective year/quarter of the inactivation.

Tasks/Notifications

N/A

Screens

N/A

Reports

N/A

DSD 18/Payroll – Tax and Contribution/Business Process /External Interfaces/EDD Form Delinquencies – TXQR107P

CI	Document Name
 CI-740636 - DSD EINTF Forms Delinquencies TXQR107P IMPLEMENTED	DSD_EINTF_Forms_Delinquencies_TXQR107P.docx

Internal Layout/System Mapping

Transaction Data Elements

Source: BPM		Target: Advantage			
Table Name/ File Name/WSDL Name	Field Name	Field Name	Data Type (Format-length)	Description (Data Transformation rules)	R/O (Required or optional)
txqr107p.xml	Account-Number	SEIN	String (10)	EDD account number	R
txqr107p.xml	First-Nam	FIRST_NM	String (20)	Recipient first name	R
	Last-Nam	LAST_NM	String (20)	Recipient last name	R
	ReturnQuarter	QTR	Numeric (1)	Calendar Quarter of missing return 3103 = 1 3006 = 2 3009 = 3 3112 = 4	R
	TaxYear	YR	Numeric (4)	Calendar Year of missing year	R
	DE9C	MISSING_DE9C	String (1)	X if DE 9C is identified on Form Delinquency file.	O
	DE9	MISSING_DE9	String (1)	X if DE 9 is identified on Form Delinquency file.	O

Transaction Trigger Events

This process is AutoSys batch script controlled. The batch script is set to run in a quarterly cycle.

Processing Criteria

The Forms Delinquencies job will read the input file that is supplied by EDD. The matching criterion for the file is EDD account number (SEIN.)

Error Processing

Table – Error Codes

Error No.	CI ID	Error Code	Description
1	New	ERROR	No Match found on SEIN
2	New	ERROR	Multiple cases identified for SEIN

Related Components

Business Process Functions

N/A

Business Flows

N/A

Business Rules

N/A

Tasks/Notifications

N/A

Screens

N/A

Reports

N/A

DSD 18/Payroll – Tax and Contribution/Business Process /Batch Processing

This section will describe the identified CMIPS batch processes.

No	Batch Process Name	CI	Description	Estimated Size (Records)	Frequency	SendReceiveMaintenance
1	DE9 C Batch (10028 - TXQS107B)	 CI-116319 - DSD BTCH PRO ADV p h qtr 10028 de9csend IMPLEMENTED	This job will be run quarterly to prepare the State tax filing DE-9C	20,000	Quarterly	N/A
2	UI Rate Output Batch (1008 1) - DE1 Request	 CI-116252 - DSD CMIPS BTCH PRO ADV p h xxx 10069 de1request IMPLEMENTED	Registers all employers in the system for the State EDD tax filing.	400,000-700,000	Quarterly	N/A
3	DE-1 Response Batch (10025)	 CI-116253 - DSD BTCH PRO ADV p h fri 10025 de1response IMPLEMENTED	Response back from EDD on the DE-1 Request	400,000-700,000	Quarterly	N/A
4	CMIPS Quarterly Catch Up Tax (1200018)	 CI-116325 - DSD BTCH PRO ADV 1200018 qrttaxcatchup IMPLEMENTED	This process any taxes that need to be caught up for changes in relationship status.	N/A	Quarterly	N/A
5	Employee Tax Refund (1200025) - SDI	 CI-116317 - DSD BTCH PRO ADV 1200025 sdi empltaxrefund IMPLEMENTED	Refunds any over withheld SDI taxes to the employee.	15,000-25,000	Quarterly	N/A
6	Employee Tax Refund (1200025) - FICA	 CI-116263 - DSD BTCH PRO ADV 1200025 fica empltaxrefund IMPLEMENTED	Creates the annual FICA refunds.	200,000	Annually	N/A
7	Auto Expire Tax Parameters (12001)	 CI-116234 - DSD BTCH PRO ADV p h adh 12001 autoexpiretaxparme IMPLEMENTED	Resets the calendar year for tax purposes.	N/A	Annually	N/A
8	940 Tax Reporting (1100001)	 CI-116264 - DSD BTCH PRO ADV p h yre 1100001 940futa IMPLEMENTED	Creates the annual 940 Report.	1	Annually	N/A
9	W2-C Tax Reporting (2109) - Initial Annual Load	 CI-116272 - DSD BTCH Initial W2 C IMPLEMENTED	Initializes the processing for W-2C for a calendar year.	400,000-700,000	Annually	N/A
10	W-2 Tax Reporting (2108)	 CI-116331 - DSD BTCH PRO ADV p h yre 2108 w2taxreporting IMPLEMENTED	Processes the W-2 and W-3 for the calendar year for each employer/employee relationship	400,000-700,000	Annually	N/A
11	W-2C Tax Reporting (2109)	 CI-116330 - DSD BTCH PRO ADV na w2pdfsweeper IMPLEMENTED	Processes a corrected W-2.	1-10,000	Ad hoc	N/A

12	DE-34 FSET Batch (10026 - TXSS107A)	CI-116254 - DSD BTCH PRO ADV p h out 10026 de34 IMPLEMENTED	Registers Employee's with EDD	3,000-10,000	Twice per month	N/A
13	UI Rate Output Batch (10081) - DE1 Request - Annual	CI-291364 - DSD BTCH PRO ADV p h adh 10081 uiraterequest IMPLEMENTED	Requests UI rate for new year for all active Providers	400,000- 700,000	Annual	N/A
14	EDD Wage Adjustment Report (10065)	CI-291369 - DSD BTCH PRO ADV p h qtr 10065 wageadjustment IMPLEMENTED	Collects information to report wage adjustment information to EDD.	Varied	Quarterly	N/A
15	DE9Batch (10027 - TXQS107D)	CI-291381 - DSD BTCH PRO ADV p h qtr 10027 de9send IMPLEMENTED	This job will be run quarterly to prepare the State tax filings DE-9 that correspond to the DE-9C	20,000	Quarterly	N/A
16	EDD SEIN Inactivation (1210056)	CI-507508 - DSD BTCH PRO ADV 1210056 EDDSeinInactivationBatchJob IMPLEMENTED	EDD SEIN Inactivation batch job process the SEIN Inactivation file from EDD and updates Advantage to indicate that a subject employer account is inactive and the date of that inactivation	2000	Quarterly	Receive
17	DE-88 FSET Batch (10029 - TXQS107E)	CI-291380 - DSD BTCH PRO ADV p h qtr 10029 de88send IMPLEMENTED	This job will be run quarterly to prepare the State tax filing DE 88	20,000	Quarterly	N/A
18	EDD Delinquent Import BatchJob (1 210062 - TXQR107P)	CI-740634 - DSD BTCH PRO ADV 1210062 ProcessEDDDelinqForm IMPLEMENTED	Delinquent/missing DE 9 and DE 9C tax reports	2,000	Quarterly	Receive
19	EDD Generate DE9C/DE9 (From Delinquent Forms) (1210063)	CI-740635 - DSD BTCH PRO ADV 1210063 GenerateDE9CDE9 IMPLEMENTED	Generates DE 9 and DE 9C returns for indicated cases.	2,000	Adhoc	N/A
20	EDD Financial Report (10066)	CI-291368 - DSD BTCH PRO ADV p h qtr 10066 financialreport IMPLEMENTED	Generates a request to EDD for a refund of State taxes paid in a previous quarters. The job will search the past three years for warrants issued in a prior quarter that were voided in the current quarter. A record will only be created for a Recipient who has an active SEIN.	Variable	Quarterly	Send
21	Update WPCS Appointment to Primary (10047)	CI-291373 - DSD BTCH PRO ADV p h int 10047 updatewpcsvortax IMPLEMENTED	Looks for employees with existing TAX documents who are activated on the second appointment (i.e. IHSS provider also assigned as WPCS provider or vice versa) and applies the TAX document to the second appointment	1,000	Daily	N/A
22	DE1 Annual Input Imp Batch Job (10082) - no STRG	CI-816534 - DSD BTCH PRO ADV p h adh 10082 uirateresponseannualnostrg IMPLEMENTED	Processes the DI-related records. No change will be made to the rates in payroll; the last known UI and ETT rates will continue to display.	500,000	Annual	Receive
23	DE1 Annual Input Imp Batch Job (10082) - with STRG	CI-816535 - DSD BTCH PRO ADV p h adh 10082 uirateresponsewithstrg IMPLEMENTED	Updates the recipient taxing entity record (State Tax Id 4) with the new rates and creates new ENRL and STRG documents for eligible Provider(s) assigned to the taxing entity. On the ENRL document(s), the job will set the Effective Date to the earliest date in which the provider status <> 'Inactive'.	500,000	Annual	Receive

24	Form 941	 CI-116265 - CMIPS 2 BTCH pro adv 2107 qtrsumreporting CANCELLED	Cancelled with SCF - 30: DSD - MAS Batch Process CI Traceability Updates	N/A	N/A	N/A
25	Quarterly Summary Reporting (Form 941)	 CI-116304 - DSD BTCH Quarterly Summary Reporting Form 941 CANCELLED	Cancelled with SCF - 30: DSD - MAS Batch Process CI Traceability Updates	N/A	N/A	N/A
26	Create JVA for Employer Tax Refunds	 CI-822483 - CMIPS BTCH pro adv CreateJVAEmpTaxRefund IMPLEMENTED	Creates and submits Journal Voucher Adjustment (JVA) documents through SMU utility in Advantage for corresponding employer with FICA and MediCare refund adjustments of all CMIPS providers for the current calendar year. Each document must be under 200 lines.	< 3000	Annual	Maintenance
27	DE-1 Registration s – TXWS107H	 CI-291586 - DSD BTCH PRO BAW txws107H IMPLEMENTED	This batch job transmits Recipient registration, reinstatement, and change information to EDD.	Variable	Weekly	Send
28	DE-9 Interface - TXQS107D	 CI-291593 - DSD BTCH PRO BAW txqs107d IMPLEMENTED	This batch job transmits DE-9 files to EDD for tax reporting.	Variable	Quarterly	Send
29	UI Rate Return File Request – TXNS107L	 CI-291623 - DSD BTCH PRO BAW txns107l IMPLEMENTED	This batch job requests the UI Rate Return File. File contains UI and ETT rates.	Variable	As Needed	Send
30	UI Rate Return File Response – TXNR107M	 CI-291594 - DSD BTCH PRO BAW txnr107m IMPLEMENTED	This batch job collects the response to the UI Rate Request job. File contains UI and ETT rates.	Variable	As Needed	Receive
31	DE-9C Send - TXQS107B	 CI-291595 - DSD BTCH PRO BAW txqs107b IMPLEMENTED	This batch job transmits information to the EDD for quarterly tax reporting	<=5000	Quarterly	Send
32	EDD Wage Adjustment – TXQS107C	 CI-291598 - DSD BTCH PRO BAW txqs107c IMPLEMENTED	This batch job transmits information to EDD for wage adjustments.	Variable	Quarterly	Send
33	W2 Print File – PRAS 994A	 CI-291637 - DSD BTCH PRO BAW pras994a IMPLEMENTED	This batch job sends a print file containing provider W-2 wage/tax statements from the prior year's payroll processing to a print center.	Variable	Annual	Send
34	Statements – TXMR107K	 CI-291641 - DSD BTCH PRO BAW txmr107k IMPLEMENTED	This batch job receives a monthly file from EDD for accounts that are out of balance.	Variable	Monthly	Receive
35	Form Delinquencies – TXQR107P	 CI-816712 - DSD BTCH PRO BAW p txqr107p IMPLEMENTED	This batch job receives missing/delinquent tax reporting records (DE 9 and/or DE 9C) for an employee from EDD.	Variable	Quarterly	Receive
36	SEIN Inactivation – TXQR107N	 CI-816713 - DSD BTCH PRO BAW p txqr107n IMPLEMENTED	This batch job receives a file from EDD which provides notification of EDD SEIN inactivation.	N/A	Quarterly	Receive

37	Rename W-2 PDFs for Load to ProcServer	CI-823228 - DSD BTCH ADV n electronicw2rename IMPLEMENTED	<p>This batch job renames W-2 PDFs from [InternalEmplId]_[Fed Tax Id]_[TaxYear].pdf to [ProviderId]_[CaseNumber]_[TaxYear]_[InternalEmplId].pdf using the following criteria:</p> <ul style="list-style-type: none"> • Use the internal_empl_Id to get the following values: <ul style="list-style-type: none"> ◦ Retrieve provider number from the EMPL table (EMPL_ALT_ID_NO) ◦ Retrieve case number from EMPL_ASGNMT (TAXING_ENTITY_CD) • Retain the TaxYear and InternalEmplId from the original file name • The metadata required to rename the W-2 is written into a comma separated metadata .txt file <p>On completion of the job, an email is sent to the payroll team which includes Segment Number and tax year for validation purposes. The count of files renamed is saved to a .txt file.</p>	>70,000 /Segment	Annual	Maintenance
38	Validate W-2 PDFs for Load to ProcServer	CI-823229 - DSD BTCH ADV n electronicw2validate IMPLEMENTED	<p>This batch job ensures the file count remains the same before and after rename and that the file names are consistent. The process counts the number of pdf files in the folder and matches it with .txt file created by the rename job.</p> <ol style="list-style-type: none"> 1. File count validation: <ol style="list-style-type: none"> a. The process counts the number of pdf files in the folder and matches it with the .txt file created by the rename job <ol style="list-style-type: none"> i. If the number matches process next step ii. if the number does not match stop, write the error to logs and send an error notification 2. File name validation: <ol style="list-style-type: none"> a. The process reads the metadata .txt file created by the rename job, and for each rename, check if it exists in the directory <ol style="list-style-type: none"> i. If found, process next step ii. If not found, stop, write the error to logs and send an error notification. 	>70,000 /Segment	Annual	Maintenance
39	Load W-2 PDFs to ProcServer	CI-823230 - DSD BTCH ADV n electronicw2pdf IMPLEMENTED	<p>This batch job zips the validated W-2 PDF files (validated by the Validate W-2 PDFs job) and sends them to the ProcServer for future delivery to the ESP. For each zip file, a checksum file is generated. This checksum file enables the process to confirm file integrity after successful transfer. The file also acts as a checkpoint/handoff for the next step, allowing a future Case Management job to validate the integrity of the files prior to transferring them to the ESP.</p> <p>On completion of the job, an email is sent to the Payroll Team to indicate success or to indicate errors if any occurred. If an error occurs, it is written to an exception log.</p>	10,000 records per zip file	Annual	Send
40	Electronic W-2 Encrypt & Validate Content	CI-823272 - DSD BTCH ADV n ElectronicW2EncryptContentValidate IMPLEMENTED	<p>This batch job performs the following subtasks in sequence:</p> <ol style="list-style-type: none"> 1. Content validate - The task validates the content of the W2 PDF is for the correct Provider, by comparing the combination of the Internal Control number and last four digits of SSN with the value in W2_FORM table. 2. File Encryption - Encrypts the PDF from malicious use. 	>70,000 /Segment	Annual	Maintenance

DSD 18/Payroll – Tax and Contribution/Business Process /Applicable Security Roles

This section is not applicable for Tax and Contribution Management.

DSD 18/Payroll – Tax and Contribution/Business Process /Reporting

All payroll related reports are located in DSD Section 28C or 28D.

DSD 18/Payroll – Tax and Contribution/Forms

See DSD Section 31A, 31B or 31C for all CMIPS forms.

DSD 18/Payroll – Tax and Contribution/Code Table Definitions

This section is not applicable for Tax and Contribution Management.

DSD 18/Payroll – Tax and Contribution/Database Entities

DSD 18/Payroll – Tax and Contribution/Database Entities /CMIPS2 EDD DE34 Provider Records

Table – CMIPS2_EDD_DE34_PROVIDER_RECORDS

Field Name	Data type	Size	Null	Screen Name – Field Name	Comments
INTERNAL_EMPL_ID	String	10	No	N/A	Triggered by UpdateAssignCaseProvider, UpdateProviderPayRate, UpdatePersonService, and UpdateSSN webservice calls.
EFFECTIVE_DT	Date	10	No	N/A	Effective date of the Provider 'Active' status for new or re-hired Providers. For changes to SSN or name, this will be the date of the current 'Active' timeslice. Triggered by UpdateAssignCaseProvider, UpdateProviderPayRate, UpdatePersonService, and UpdateSSN webservice calls.
CASE_NUMBER	Numeric	7	No	Empl_Asgnmt. Taxing_Entity_Cd	The Recipient case number.
SEIN	String	17	No	Taxing_Entity. St_Tax_Id_2	The Recipient's EDD account number.
SEIN_STATUS	String	10	No	Taxing_Entity. Computer	The current status of the Recipient's EDD account number.
TRANS_TYP	String	1	No	N/A	N – New hire (Qualified Provider assigned to the case for the first time) R – Re-hired (Qualified Provider reassigned to the case after status of 'T' (terminated) C – Change to name or SSN or qualified Provider
CREATION_DT	Timestamp	20	No	N/A	The date timestamp of the record creation.
REPORTED_FL	String	1	No	N/A	Defaults to 'N' upon record creation. Updated to 'Y' to indicate that the Provider record has been reported on the DE-34.
LAST_UPDATE_DT	Timestamp	20	No	N/A	Triggered by the record creation or update.

DSD 18/Payroll – Tax and Contribution/Database Entities /CMIPS2 EDD Delinquent Forms

Table – CMIPS2_EDD_DELINQUENT_FORMS

Field Name	Data type	Size	Null	Screen Name – Field Name	Comments
FILE_NM	VARCHAR	30	No	N/A	File Name of the EDD Delinquent records. EX: EDDDelinquent_20161001-01.xml
SEIN	VARCHAR	10	No	N/A	EDD account number
FIRST_NM	VARCHAR	15	No	N/A	Recipient first name
LAST_NM	VARCHAR	20	No	N/A	Recipient last name
QTR	VARCHAR	1	No	N/A	Calendar Quarter of missing return 3103 = 1 3006 = 2 3009 = 3 3112 = 4
YR	VARCHAR	4	No	N/A	Calendar Year of missing year
MISSING_DE9C	VARCHAR	1	Yes	N/A	X if DE 9C is identified on Form Delinquency file.
MISSING_DE9	VARCHAR	1	Yes	N/A	X if DE 9 is identified on Form Delinquency file.
CASE_NO	VARCHAR	20	No	Taxing_Entity.Taxing_Entity_Cd	Recipient case number associated to the EDD account number
CASE_SEIN	VARCHAR	20	No	Taxing_Entity.St_Tax_Id_2	SEIN associated to the Recipient case as of the last day of the identified quarter
SEIN_STATUS	VARCHAR	10	No	Taxing_Entity.Computer	SEIN status as of the last day of the identified quarter
RECIPIENT_NM	VARCHAR	50	No	Taxing_Entity.Taxing_Entity_Nm	Recipient name
RECIPIENT_DOB	VARCHAR	20	No	Taxing_Entity.St_Tax_Id_3	Recipient date of birth
RECIPIENT_SSN	VARCHAR	20	No	Taxing_Entity.St_Tax_Id_1	Recipient social security number
COUNTY	VARCHAR	2	No	Taxing_Entity.Cty_Cd(left,2)	County associated to the Recipient case as of the last day of the identified quarter
GENERATE_DE9C	VARCHAR	1	No	N/A	BLANK or X Identifies case numbers to be used for the DE9C batch job parameter
GENERATE_DE9	VARCHAR	1	No	N/A	BLANK or X Identifies case numbers to be used for the DE9C batch job parameter
PROCESSED_DE9_C_FL	VARCHAR	1	No	N/A	Defaults to BLANK upon record creation. Updated to 'X' to indicate that the missing DE9C returns have been generated. If Generate DE9C fails, This flag will not be updated.
PROCESSED_DE9_FL	VARCHAR	1	No	N/A	Defaults to 'BLANK' upon record creation. Updated to 'X' to indicate that the missing DE9 returns have been generated. If Generate DE9 fails, This flag will not be updated.
PROCESSED_DE9_C_DATE	TIMESTAMP	20	Yes	N/A	Defaults to NULL. Updated to CURRENT TIMESTAMP to indicate that the missing DE9C returns have been generated.
PROCESSED_DE9_DATE	TIMESTAMP	20	Yes	N/A	Defaults to NULL. Updated to CURRENT TIMESTAMP to indicate that the missing DE9C returns have been generated.
LAST_UPDATE_DT	TIMESTAMP	20	No	N/A	Triggered by the record creation or update.
EXCEPTION	VARCHAR	500	Yes	N/A	Defaults to NULL. Placeholder for multiple case numbers or any exception messages while importing delinquent form records.

DSD 18/Payroll – Tax and Contribution/Business Class Definitions

This section is not applicable for Tax and Contribution Management.