Wolters Kluwer
When you have to be right

CCH® ProSystem *fx*® Tax Electronic Filing

User Guide

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Chapter 1

Getting Started with the Electronic Filing Status System®

The Electronic Filing Status System allows you to expand your professional services, file more accurate returns, and get faster refunds for your clients.

The Electronic Filing Status System is internet-based; therefore, you need a valid CCH® ProSystem *fx*® user ID established to use this system. User IDs are commonly referred to as Single Sign-on or SSO IDs. Single Sign-on (SSO) allows users to log in to multiple CCH® ProSystem *fx*® internet applications using the same user name and password.

Once a valid SSO ID is established and proper functional rights are granted, you can access the Electronic Filing Status System and secured areas of the Support website on a 24/7 basis.

The Electronic Filing Status System provides the following options, and much more:

- Export returns from Tax to the Electronic Filing Status System
- Release returns over the internet directly to taxing authorities
- Refer to status reports and support links
- Submit EFINs for your firm's account numbers
- Launch the Electronic Filing Status System from Tax to check a return’s status
- Convenient 24/7 access to the Electronic Filing Status System
- Send email reminders to clients who have not returned a completed Signature Form

Electronic filing data can be exported from Tax to the Electronic Filing Status System for all return types except Estate & Gift. The data can then be released from the Electronic Filing Status System to the appropriate taxing authorities. You must have the appropriate permission rights to electronically file returns.

The following is an overview of the Tax Electronic Filing processing.

1. Enter your EFIN and Tracking Number in EFIN Manager.
2. Set electronic filing options for your firm and staff.
3. Review IRS publications 1345 (Individual) and 4163 (Business).
4. Prepare and qualify tax returns or extensions for electronic filing.
5. Export tax returns or extensions for electronic filing.
6. Obtain authorization form signatures.
7. Release tax returns or extensions to taxing authorities.
8. Check the status of the return or extension.

If you have additional questions or need assistance, please contact Support.

Chapter 2

Configuring Electronic Filing Default Settings

You can set default values for tax return electronic filing options. In CCH ProSystem *fx* Tax, defaults can be saved for each office group in Office Manager. If you have not done so previously, we recommend you complete the following administrative tasks to prepare your firm and users for the start of the electronic filing season:

- Grant staff rights to export returns from Tax Preparation to the Electronic Filing Status System.
- Add signer identification information to staff configuration.
- Configure Office Manager for electronic filing preferences.
- Link your desktop user IDs to your newly converted SSO IDs in Office Manager.

  Note: You must have User Sign-on enabled on your desktop installation, and each user ID must have a password.

Assigning Staff Electronic Filing Access

Before you can export returns for electronic filing and access the Electronic Filing Status System, you must be granted functional rights. Functional rights for the Electronic Filing Status System include releasing returns, deleting returns from the status system, changing the status of returns, and stopping transmission of returns.

You can also assign these functional rights to a group. The main advantage of using groups is that when any user is assigned to a group they automatically inherit that group’s rights. For many firms, groups can provide a time-saving alternative for assigning functional rights. Staff members are not restricted to the functional rights inherited from their designated group. They can be individually assigned additional rights.

Note: You must be an administrator to assign electronic filing access.

Instructions for CCH ProSystem *fx* Staff

To set up Electronic Filing access, do the following:

1. Log in to Configure Staff at admin.prosystemfx.com.
2. Click **Staff** to access Configure Staff.
3. Click **Add** at the bottom of the Staff home page. The *General Information* page displays.
4. Enter profile information in the required fields. For more information, click the **Quick Start Guide** link at the top of the page, or to receive page-specific help, click the **Question Mark** icon when present.
5. If your firm is using customized groups, select one from the *Group* drop-down list.
6. Enter additional user contact information as needed.
7. Click **Next**. The Licensing/Product Access page displays listing products for which your firm is licensed.
8. Do one of the following:
    - To grant view-only access to the Electronic Filing Status System, select the **Electronic Filing Status** box.
    - If you do not want this user to have access to the Electronic Filing Status System, click **Return to Staff Home** to save any changes.
9. Click **Functional Rights**. To grant a user the ability to upload and release returns to the taxing authority or give access to the Electronic Filing Status System, you must select the following options in the Electronic Filing Status functional rights section.
10. Click the Expand/Collapse arrow located next to the Electronic Filing Status section to display a list of options for which you can grant functional rights.
11. Select one or more of the following options:
    - **Release returns to taxing authority**
    - **Delete returns from status system and also change status of returns to "paper filed"**
    - **Stop returns from being transmitted to taxing authority**
12. Do one of the following:
    - **To select individual options,** select the box in the Staff column adjacent to an option for which you want to grant this user access.
    - **To select all options,** click the Select all link located above the listed options to give this staff member access to all of the product's features.
    - **To deselect all options,** click the Deselect all link located above the listed options to remove all functional rights for this user.

    Note: For each functional right, a Group and Staff column are displayed. If a staff member is assigned to a group, check marks will display next to functional rights associated with that group in both the Group and Staff columns. These fields cannot be edited. You can only grant functional rights for product options this member has not already acquired from his or her assigned group.

13. Click **Return to Staff Home**. You will be returned to the Staff home page.
14. Repeat steps 3 through 12 for all applicable users.

Configuring Office Manager Electronic Filing Settings

Configure Staff

Instructions for CCH ProSystem *fx*

1. In Office Manager, click **Configure Staff**.
2. Select the desired user and click **Setup**.
3. In the Tax Preparation functional rights section, select **Electronic filing - enable release of return(s) to taxing authority** if the staff should be allowed to upload tax returns to the Electronic Filing Status System and release the return to the tax authority automatically.
4. Click the **Tax Preparer** tab.
5. In the Preparer identification section, enter the preparer's Electronic Return Originator (ERO) PIN.
6. Click **OK**.

Configure Applications

The first step in preparing for e-filing processing is to configure the Office Manager application. Be sure the current CCH ProSystem *fx* Tax version is installed on your system. We recommend the firm administrator complete the following steps as supervisory access is required to link your CCH ProSystem *fx* Tax user IDs with your SSO user IDs:

1. In Office Manager, select **Configure Applications** > **Tax Preparation** > **Configure** > "**Office Group**" > **Electronic Filing Options**.
2. Review your options for the following for each office group:
   - **General**. Filing options
   - **ERO**. Filing options
   - **Individual.** Filing options, notification options
   - **Partnership.** Filing options, notification options
   - **Corporation.** Filing options, notification options
   - **S Corporation.** Filing options, notification options
   - **Fiduciary.** Filing options, notification options
   - **Employee Benefit Plan.** Filing options, notification options
   - **Exempt Organization.** Filing options, notification options

Configuring Electronic General Filing Options

1. Click **Configure Applications**.
2. Highlight **Tax Preparation** and click **Configure**.

3. Select the office group for which you are establishing Electronic Filing options and click **OK**.
4. Select **Electronic Filing Options** and click **Setup**.
5. Complete the fields on the *Electronic Filing Options - General* dialog.

   You can override these office group options on a per return basis using the General > Electronic Filing > General worksheet (Interview Form EF-1).

Electronic filing identification number (EFIN)

EFIN number

Enter the Electronic Filing Identification Number assigned for electronic filing returns in this office group. The EFIN is used for electronic filing processing for Individual, Partnership, Corporation, S Corporation, Fiduciary, Employee Benefit Plan, and Exempt Organization returns.

Vendor control number

Enter the 12-digit Vendor Control Number (VCN) that is assigned for electronically filing for all returns except for Employee Benefit Plan. The VCN must be associated with the EFIN number entered above.

Notes:

- You can override this in General > Electronic Filing > Electronic Return Originator - Overrides > Vendor Control Number.
- The EFIN and VCN must both be entered in the same location (both for the office group or both in the return). If only one is entered for the office group and one in the return, disqualifying diagnostics may be issued in Tax Preparation.

Tell me more about Vendor Control Numbers.

- A VCN is associated with a specific Electronic Filing Identification Number (EFIN) to ensure that EFIN is not being used fraudulently by a preparer or firm that should not be using it.
- To view your firm's VCNs, do the following:
  i. Open the Electronic Filing Status System (EFS).
  ii. Select **Admin** > **EFIN Manager** from the toolbar. The VCN that is associated with each of your firm's EFINs are listed in the EFIN Manager grid.

Taxpayer/Spouse PIN program information (1040 only)

Randomly generate the taxpayer and spouse PIN (1040 only)

Select this box to generate the taxpayer and spouse PINs for Individual returns.

Electronic filing options

Print the entire government copy, rather than just forms that were not included in the electronic file

Select this box to print the entire government copy of the return, and not just forms not included in the electronic file.

Suppress printing of all forms during export

Select if you do not want forms printed in the government copy of the return.

Do not print nonfileable message on signature forms

Select if you do not want the nonfileable message to print on signature forms.

Note: You can override this option at the firm level on the Configure Firm > Options dialog.

Suppress printing of extension letters during export

Select if you do not want to print extension letters during export.

Do not update electronic filing status in return

When selected, the electronic filing status on the electronic filing status report within the return and on the export dialog will not be updated with the latest information from CCH ProSystem *fx* Electronic Filing System.

This option will not have a return level override.

Suppress printing of electronic filing and return results report

Select if you do not want to print the e-file history and return results report.

Note: This option applies to tax years 2020 and later.

6. Click **OK** when finished.

Configuring Electronic ERO Filing Options

1. Click **Configure Applications**.
2. Highlight **Tax Preparation** and click **Configure**.
3. Select the office group for which you are establishing Electronic Filing options and click **OK**.
4. Select **Electronic Filing Options** and click **Setup**.
5. Complete the fields on the *Electronic Filing Options - ERO* dialog.

   The Electronic Return Originator (ERO) data is used to fill in the Declaration of Electronic Originator (ERO) and Paid Preparer section on all applicable forms.

   You can override these options on the General Electronic Filing worksheet (Interview Form EF-2).

Electronic Return Originator (ERO) information

ERO contact name

Enter the contact name.

Preparer e-mail address

Enter the preparer e-mail address. This is used as the "from" e-mail address when notifying the taxpayer of the electronic filing acceptance via e-mail instead of by postcard. It is also used for state purposes.

ERO PIN (all return types)

Enter the ERO PIN. For Individual returns, you may leave this field blank and select the following box.

Randomly generate the ERO PIN

Select this box to have the ERO PIN randomly generated for Individual and Fiduciary returns.

Electronic Return Originator (ERO) overrides

Select the **Replace signature block information with ERO overrides** box to override the signature block information. If you select this box, be sure to fill in all of the fields below this box.

ERO name, address, city, state, ZIP code, country.

Enter the ERO firm name and all of the address information.

ERO EIN

Enter the ERO employer identification number.

ERO SSN

Enter the ERO social security number.

Alternate ERO ID no. (PTIN)

Enter an alternate ERO ID number.

PTIN is accurate and I am the registered owner

If you are the tax preparer and the PTIN information in this section belongs to you, select this check box to confirm that the PTIN information is correct. The check box will only be enabled if the PTIN is formatted correctly. As per the tax authority requirements, tax preparers must verify their PTIN information before they can electronically file returns. This applies to tax years 2019 and later.

Note: If the PTIN information for a tax preparer has not already been confirmed here, the tax preparer is prompted to verify their information each time they navigate to this dialog.

ERO telephone number

Enter the ERO telephone number

Self-employed

Select this box to override self-employed information on the signature block.

6. Click **OK** when finished.

Configuring Electronic Individual Filing Options

1. Click **Configure Applications**.
2. Highlight **Tax Preparation** and click **Configure**.
3. Select the office group for which you are establishing Electronic Filing options and click **OK**.
4. Select **Electronic Filing Options** and click **Setup**.
5. Complete the fields on the *Electronic Filing Options - Individual* dialog.

   Unless otherwise noted, you can override the following fields on the General > Electronic Filing > General worksheet (Individual Interview Form EF-1).

What to file electronically

Electronically file federal return and enable electronic filing for selected return types

If selected, electronic filing is activated for the federal return and selection is enabled for other return types.

Extensions

If selected, all return extensions for the office group are filed electronically.

All state returns

If selected and electronic filing is available for that state, files all applicable returns electronically.

All city returns

If selected and electronic filing is available for the city listed, files the city return electronically.

Other returns

If selected and electronic filing is available for other returns, files those returns electronically.

Estimated tax payments

If selected and electronic filing is available, files the estimates electronically.

Federal elections with signatures required

If selected and electronic filing is available, electronically files federal elections that require signatures.

Printing upon export

Suppress printing of taxpayer signature dates

If selected, suppresses the printing of signature dates on applicable returns.

Always produce 8879-SO during export

If selected, Form 8879-SO, State-Only e-file Signature Authorization, will be produced during export. You can override this option in General > Electronic Filing > Print Options (Interview Form EF-1, Box 62).

ERO signature options for Form 8879

Select one of the following from the drop-down list:

- Suppress printing (default)
- Print ERO firm name
- Print ERO preparer

eSign options

Electronically sign authorization form(s)

Select this box to electronically sign authorization form(s).

Enable eSign if state returns do not qualify

If selected, users will be able to eSign the federal authorization form(s) even when the return contains non-supported states.

Please refer to Appendix A in the eSign User Guide for a list of states that support eSign.

e-file paragraph in letters and filing instructions

Transmittal/filing instructions paragraph

Includes the transmittal letter and filing instructions paragraph. Available options are as follows:

- Not applicable *(default)*
- Standard

- Alternate
- Suppress
- No further action
- No further action - return Form 8879

The *No further action* option allows you to indicate in the transmittal letter/filing instructions that the return has been filed electronically and no further contact is necessary.

Third party transmissions

If selected and electronic filing is available, an electronic data file will be created and transmitted with third-party software.

6. Click **OK** when finished.

Note: If the e-file contains an extension, an email or postcard notification will be sent automatically.

Configuring Electronic Partnership Filing Options

1. Click **Configure Applications**.
2. Highlight **Tax Preparation** and click **Configure**.
3. Select the office group for which you are establishing Electronic Filing options and click **OK**.
4. Select **Electronic Filing Options** and click **Setup**.
5. Complete the fields on the *Electronic Filing Options - Partnership* dialog.

   Unless otherwise noted, you can override all of the following on the General > Electronic Filing > General worksheet (Partnership Interview Form EF-1).

What to file electronically

Electronically file federal return and enable electronic filing for selected return types

If selected, electronic filing is activated for the federal return and selection is enabled for other return types.

Extensions

If selected, all return extensions for the office group are filed electronically.

All state returns

If selected and electronic filing is available for that state, files all applicable returns electronically.

All city returns

If selected and electronic filing is available for the city listed, files the city return electronically.

Other returns

If selected and electronic filing is available for other returns, files those returns electronically.

Composite returns

If selected and electronic filing is available for composite return, files those returns electronically

Estimated tax payments

If selected and electronic filing is available, files the estimates electronically.

Federal elections with signatures required

If selected and electronic filing is available, electronically files federal elections that require signatures.

Printing upon export

Always produce 8879-SO during export

If selected, Form 8879-SO, State-Only e-file Signature Authorization, will be produced during export. You can override this option in General > Electronic Filing > Print Options (Interview Form EF-1, Box 62).

ERO signature options for Form 8879

Select one of the following from the drop-down list:

- Suppress printing (default)
- Print ERO firm name
- Print ERO preparer

e-file paragraph in letters and filing instructions

Transmittal/filing instructions paragraph

Includes the transmittal letter and filing instructions paragraph. The options are as follows:

- Not applicable *(default)*
- Standard
- Alternate
- Suppress
- No further action
- No Further action - return Form 8879-PE/8879-B

The *No further action* option allows you to indicate in the transmittal letter/filing instructions that the return has been filed electronically and no further contact is necessary.

For the text included with the various paragraphs, press **F1** in the applicable box on General > Electronic Filing > General (Interview Form EF-1).

Third party transmissions

If selected and electronic filing is available, an electronic data file will be created and transmitted with third-party software.

Other options

Create New Jersey NJ-1080-C diskette file

Select to create Partnership NJ-1080-C diskette files. Partnership diskette filing will only be applicable to returns for which the federal Partnership return is being electronically filed.

Create AR 1000CR magnetic file

Select to create the Arkansas partnership information (AR 1000CR) export file.

6. Click **OK** when finished.

Note: If the e-file contains an extension, an email or postcard notification will be sent automatically.

Configuring Electronic Corporation Filing Options

1. Click **Configure Applications**.
2. Highlight **Tax Preparation** and click **Configure**.
3. Select the office group for which you are establishing Electronic Filing options and click **OK**.
4. Select **Electronic Filing Options** and click **Setup**.
5. Complete the fields on the *Electronic Filing Options - Corporation* dialog.

   Unless otherwise noted, you can override all of the following on the General > Electronic Filing > General worksheet (Corporation Interview Form EF-1).

What to file electronically

Electronically file federal return and enable electronic filing for selected return types

If selected, electronic filing is activated for the federal return and selection is enabled for other return types.

Extensions

If selected, all return extensions for the office group are filed electronically.

All state returns

If selected and electronic filing is available for that state, files all applicable returns electronically.

All city returns

If selected and electronic filing is available for the city listed, files the city return electronically.

Other returns

If selected and electronic filing is available for other returns, files those returns electronically.

Estimated tax payments

If selected and electronic filing is available, files the estimates electronically.

Federal elections with signatures required

If selected and electronic filing is available, electronically files federal elections that require signatures.

Printing upon export

Always produce 8879-SO during export

If selected, Form 8879-SO, State-Only e-file Signature Authorization, will be produced during export. You can override this option in General > Electronic Filing > Printing upon export > Print 8879-SO during export (Interview Form EF-1, Box 62).

ERO signature options for Form 8879

Select one of the following from the drop-down list:

- Suppress printing (default)
- Print ERO firm name
- Print ERO preparer

e-file paragraph in letters and filing instructions

Transmittal/filing instructions paragraph

Includes the transmittal letter and filing instructions paragraph. Available options are as follows:

- Not applicable *(default)*
- Standard
- Alternate
- Suppress

- No further action
- No further action - return Form 8879

The *No further action* option allows you to indicate in the transmittal letter/filing instructions that the return has been filed electronically and no further contact is necessary.

Third party transmissions

If selected and electronic filing is available, an electronic data file will be created and transmitted with third-party software.

6. Click **OK** when finished.

Configuring Electronic S Corporation Filing Options

1. Click **Configure Applications**.
2. Highlight **Electronic Filing Options** and click **Setup**.
3. Select the office group for which you are establishing Electronic Filing options and click **OK**.
4. Complete the fields on the *Electronic Filing Options - S Corporation* dialog.
5. Select **Electronic Filing Options** and click **Setup**.
6. Click **OK** when finished.

Unless otherwise noted, you can override all of the following on the General > Electronic Filing > General worksheet (S Corporation Interview Form EF-1).

What to file electronically

Electronically file federal return and enable electronic filing for selected return types

If selected, electronic filing is activated for the federal return and selection is enabled for other return types.

Extensions

If selected, all return extensions for the office group are filed electronically.

All state returns

If selected and electronic filing is available for that state, files all applicable returns electronically.

All city returns

If selected and electronic filing is available for the city listed, files the city return electronically.

Other returns

If selected and electronic filing is available for other returns, files those returns electronically.

Composite returns

If selected and electronic filing is available for composite return, files those returns electronically

Estimated tax payments

If selected and electronic filing is available, files the estimates electronically.

Federal elections with signatures required

If selected and electronic filing is available, electronically files federal elections that require signatures.

Printing upon export

Always produce 8879-SO during export

If selected, Form 8879-SO, State-Only e-file Signature Authorization, will be produced during export. You can override this option in General > Electronic Filing > Print Options (Interview Form EF-1, Box 62).

ERO signature options for Form 8879

Select one of the following from the drop-down list:

- Suppress printing (default)
- Print ERO firm name
- Print ERO preparer

e-file paragraph in letters and filing instructions

Transmittal/filing instructions paragraph

Includes the transmittal letter and filing instructions paragraph. Available options are as follows:

- Not applicable *(default)*
- Standard
- Alternate
- Suppress
- No further action
- No further action - return Form 8879

The *No further action* option allows you to indicate in the transmittal letter/filing instructions that the return has been filed electronically and no further contact is necessary.

For the text included with the various paragraphs, press **F1** in the applicable box on General > Electronic Filing > General (Interview Form EF-1).

Third party transmissions

If selected and electronic filing is available, an electronic data file will be created and transmitted with third-party software.

Other options

Create New Jersey NJ-1080-C diskette file

Select to create S Corporation NJ-1080-C diskette files. S Corporation diskette filing will only be applicable to returns for which the federal S Corporation return is being electronically filed.

Create AR 1000CR magnetic file

Select to create the Arkansas S Corporation information (AR 1000CR) export file.

Configuring Electronic Fiduciary Filing Options

1. Click **Configure Applications**.
2. Highlight **Tax Preparation** and click **Configure**.
3. Select the office group for which you are establishing Electronic Filing options and click **OK**.
4. Select **Electronic Filing Options** and click **Setup**.
5. Complete the fields on the *Electronic Filing Options - Fiduciary* dialog.

   Unless otherwise noted, you can override all of the following on the General > Electronic Filing > General worksheet (Fiduciary Interview Form EF-1).

What to file electronically

Electronically file federal return and enable electronic filing for selected return types

If selected, electronic filing is activated for the federal return and selection is enabled for other return types.

Extensions

If selected, all return extensions for the office group are filed electronically.

All state returns

If selected and electronic filing is available for that state, files all applicable returns electronically.

All city returns

If selected and electronic filing is available for that city, files all applicable returns electronically. You can override this option in General > Electronic Filing > File All City Returns.

Note: This option applies to tax years 2021 and later.

Other returns

If selected and electronic filing is available for other returns, files those returns electronically.

Estimated tax payments

If selected and electronic filing is available, files the estimates electronically.

Federal elections with signatures required

If selected and electronic filing is available, electronically files federal elections that require signatures.

Printing upon export

Always produce 8879-SO during export

If selected, Form 8879-SO, State-Only e-file Signature Authorization, will be produced during export. You can override this option in General > Electronic Filing > Print Options (Interview Form EF-1, Box 72).

ERO signature options for Form 8879

Select one of the following from the drop-down list:

- Suppress printing (default)
- Print ERO firm name
- Print ERO preparer

e-file paragraph in letters and filing instructions

Transmittal/filing instructions paragraph

Includes the transmittal letter and filing instruction paragraph. The options are as follows:

- Not applicable *(default)*
- Standard
- Alternate
- Suppress
- No further action
- No further action - return Form 8879

For the text included with the various paragraphs, press **F1** in the applicable box on General > Electronic Filing > General (Interview Form EF-1).

Third party transmissions

If selected and electronic filing is available, an electronic data file will be created and transmitted with third-party software.

6. Click **OK** when finished.

Configuring Electronic Employee Benefit Plan Filing Options

1. Click **Configure Applications**.
2. Highlight **Tax Preparation** and click **Configure**.
3. Select the office group for which you are establishing Electronic Filing options and click **OK.**
4. Select **Electronic Filing Options** and click **Setup**.
5. Complete the fields on the *Electronic Filing Options - Employee Benefit Plan* dialog.

   Unless otherwise noted, you can override all of the following on the General > Electronic Filing > General worksheet (Employee Benefit Plan Form EF-1).

e-file paragraph in letters and filing instructions

Transmittal/filing instructions paragraph

Includes the transmittal letter and filing instructions paragraph. Available options are as follows:

- Not applicable *(default)*
- Standard
- Alternate
- Suppress
- No further action

The *No further action* option allows you to indicate in the transmittal letter/filing instructions that the return has been filed electronically and no further contact is necessary.

Third party transmissions

If selected and electronic filing is available, an electronic data file will be created and transmitted with third-party software.

For the text included with the various paragraphs, press **F1** in the applicable box on General > Electronic Filing > General (Interview Form EF-1).

6. Click **OK** when finished.

Configuring Electronic Exempt Organization Filing

1. Click **Configure Applications**.
2. Highlight **Tax Preparation** and click **Configure**.
3. Select the office group for which you are establishing Electronic Filing options and click **OK**.
4. Select **Electronic Filing Options** and click **Setup**.
5. Complete the fields on the *Electronic Filing Options - Exempt* dialog.

Unless otherwise noted, you can override all of the following on the General > Electronic Filing > General worksheet (Exempt Interview Form EF-1).

What to file electronically

You can set the following electronic filing options:

Electronically file federal return and enable electronic filing for selected return types

If selected, electronic filing is activated for the federal return and selection is enabled for other return types.

Extensions

If selected, all return extensions for the office group are filed electronically.

All state returns

If selected and electronic filing is available for that state, files all applicable returns electronically.

Estimated tax payments

If selected and electronic filing is available, files the estimates electronically.

Federal elections with signatures required

If selected and electronic filing is available, electronically files federal elections that require signatures.

Printing upon export

Always produce 8879-SO during export

If selected, Form 8879-SO, State-Only e-file Signature Authorization, will be produced during export. You can override this option in General > Electronic Filing > Print Options (Interview Form EF-1, Box 62).

Note: This option is currently not used within the tax program.

ERO signature options for Form 8879

Select one of the following from the drop-down list:

- Suppress printing (default)
- Print ERO firm name
- Print ERO preparer

e-file paragraph in letters and filing instructions

Transmittal/filing instructions paragraph

Includes the transmittal letter and filing instructions paragraph. The options are as follows:

- Not applicable *(default)*
- Standard
- Alternate
- Suppress
- No further action
- No further action - send 8879-EO

The *No further action* option allows you to indicate in the transmittal letter/filing instructions that the return has been filed electronically and no further contact is necessary.

For the text included with the various paragraphs, press **F1** in the applicable box on General > Electronic Filing > General (Interview Form EF-1).

Third party transmissions

If selected and electronic filing is available, an electronic data file will be created and transmitted with third-party software.

6. Click **OK** when finished.

Configuring Electronic Individual Notification Options

1. Click **Configure Applications**.
2. Highlight **Tax Preparation** and click **Configure**.
3. Select the office group for which you are establishing Electronic Filing options and click **OK**.
4. Highlight **Electronic Filing Notifications** and click **Setup**.

   For existing office groups, previously configured values from the electronic filing option tabs will be set as the default values on the new tabs.

Electronic Filing Notifications

E-mail notifications are free of charge. Postcard notifications are priced according to the latest Pricing Catalog for each taxing authority in the return.

E-mail notifications or postcards are sent for each taxing authority. For example, if you have a return for federal and four states, five e-mails or postcards will be sent. Each postcard will be charged.

Electronic filing notification to client option

When you choose to notify your clients by e-mail, you are authorizing Wolters Kluwer to act on your behalf and send e-mail notifications of taxing authority acceptance directly to your tax clients. CCH-ReturnNotification@wolterskluwer.com will be listed in the “From” address.

Select one of the following for clients to receive notifications when returns or extensions are accepted by a taxing authority:

- Notify all clients by e-mail
- Notify all clients by postcard
- Notify clients by postcard only if the e-mail address has not been input
- Send no notification to tax clients

Note: Notifications are not sent for MI or OH city returns or extensions acceptance.

Electronic filing notification to preparer option

Select one of the following for preparers to receive notifications when returns or extensions are accepted by a taxing authority:

- Notify all preparers by e-mail
- Notify all preparers by postcard
- Send no notifications to preparer

Note: Notifications are not sent for MI or OH city returns or extensions acceptance.

Electronic filing rejection notification to preparer option

Select one of the following for preparers to receive notifications when returns or extensions are rejected by a taxing authority:

- Send e-mail to preparer
- Send e-mail to alternate preparer e-mail address
- Send e-mail to both preparer and alternate
- Send no notifications

Electronic filing stopped notification to preparer option

Select one of the following for preparers to receive notifications when returns or extensions are stopped by the Tax system:

- Send no notifications (default)
- Send e-mail to preparer
- Send e-mail to alternate preparer e-mail address
- Send e-mail to both preparer and alternate

Electronic filing returns due to expire notification to preparer option

Most states require you to install the latest version of the Tax software within ten business days of the deployment of the next release. When a software release contains an update for a participating state, that state will not accept returns that are transmitted after the ten business day limit. In this case, you must install the latest version, recalculate, and retransmit.

Select one of the following for preparers to receive notifications when returns are nearing expiration due to the ten day limit:

- Send no notifications (default)
- Send e-mail to preparer

- Send e-mail to alternate preparer e-mail address
- Send e-mail to both preparer and alternate

Notes:

- State returns that are not affected by the latest software update are not subject to expiration.
- You are unable to upload participating state returns that have expired to the Electronic Filing Status System. In this case, you will be prompted to install the latest Tax software.
- For a list of participating states, go to our Knowledge Base and search for *Which states require the 10 Business Day Rule for electronic filing?*

Number of days before expiration

This field is activated if any of the *Send e-mail* options have been selected. An e-mail will be sent before expiration due to the ten day limit based on the number of days entered here. The default number of days is 5.

Send notification to preparer when 8879 has not been received

If you select this box, an e-mail will be sent if Form 8879 has not been received within the number of days specified below. The e-mail is sent to the specified address as follows:

a. To the address in the field *E-mail address* below, if input.
b. If an alternate address is not input in *E-mail address*, the e-mail is sent to the preparer as designated on the return.
c. If neither of the above overrides are present, the e-mail is sent to the address that was input in the *Preparer e-mail address* field on Electronic Filing Options > ERO tab.

Number of days after "Ready to Release"

This field is activated if *Send notification to preparer when 8879* has not been received is selected. An e-mail will be sent to the preparer if Form 8879 has not been received within the number of days entered here. The default number of days is 3.

Notification Options

Send e-mail notification to e-mail address below in lieu of preparer

Select this box and enter an e-mail address in *E-mail address* to send the notification to an alternate address. This box is active only if you selected *Notify all preparers by e-mail* or if you have elected to receive notification for the 8879.

E-mail address. This field is enabled and you can enter an e-mail address when you have made either of these selections:

- If *Notify all preparers by e-mail* has been selected in the *Electronic filing notification to preparer option*, and you have selected *Send e-mail notification to e-mail address below in lieu of preparer*, an e-mail address is required here.

- If *Send notification to preparer when 8879 has not been received* has been selected, you can enter an alternate e-mail address for the notification.

Note: If a notification option is selected and the type of notification and taxing authority are not selected in the boxes below the e-mail address, the system will automatically select *Return* for type and *Federal* for taxing authority.

Select the type of notification to be received

If a notification to a client or preparer has been selected, the check boxes for Return and Extensions are enabled. Select one or both.

Select the taxing authority you want to receive notifications for

Check boxes for Federal, State/Cities and Report of Foreign Bank and Financial Accounts (FBAR) are available for selection. Any combination may be selected, or only one, if preferred.

5. Click **OK** when finished.

Configuring Electronic Partnership Notification Options

1. Click **Configure Applications**.
2. Highlight **Tax Preparation** and click **Configure**.
3. Select the office group for which you are establishing Electronic Filing options and click **OK**.
4. Highlight **Electronic Filing Notifications** and click **Setup**.

   For existing office groups, previously configured values from the electronic filing option tabs will be set as the default values on the new tabs.

Electronic Filing Notifications

E-mail notifications are free of charge. Postcard notifications are priced according to the latest Pricing Catalog for each taxing authority in the return.

E-mail notifications or postcards are sent for each taxing authority. For example, if you have a return for federal and four states, five e-mails or postcards will be sent. Each postcard will be charged.

Electronic filing notification to client option

When you choose to notify your clients by e-mail, you are authorizing Wolters Kluwer to act on your behalf and send e-mail notifications of taxing authority acceptance directly to your tax clients. CCH-ReturnNotification@wolterskluwer.com will be listed in the “From” address.

Select one of the following for clients to receive notifications when returns or extensions are accepted by a taxing authority:

- Notify all clients by e-mail
- Notify all clients by postcard
- Notify clients by postcard only if the e-mail address has not been input
- Send no notification to tax clients

Note: Notifications are not sent for MI or OH city returns or extensions acceptance.

Electronic filing notification to preparer option

Select one of the following for preparers to receive notifications when returns or extensions are accepted by a taxing authority:

- Notify all preparers by e-mail
- Notify all preparers by postcard
- Send no notifications to preparer

Note: Notifications are not sent for MI or OH city returns or extensions acceptance.

Electronic filing rejection notification to preparer option

Select one of the following for preparers to receive notifications when returns or extensions are rejected by a taxing authority:

- Send e-mail to preparer
- Send e-mail to alternate preparer e-mail address
- Send e-mail to both preparer and alternate
- Send no notifications

Electronic filing stopped notification to preparer option

Select one of the following for preparers to receive notifications when returns or extensions are stopped by the Tax system:

- Send no notifications (default)
- Send e-mail to preparer
- Send e-mail to alternate preparer e-mail address
- Send e-mail to both preparer and alternate

Electronic filing returns due to expire notification to preparer option

Most states require you to install the latest version of the Tax software within ten business days of the deployment of the next release. When a software release contains an update for a participating state, that state will not accept returns that are transmitted after the ten business day limit. In this case, you must install the latest version, recalculate, and retransmit.

Select one of the following for preparers to receive notifications when returns are nearing expiration due to the ten day limit:

- Send no notifications (default)
- Send e-mail to preparer
- Send e-mail to alternate preparer e-mail address
- Send e-mail to both preparer and alternate

Notes:

- State returns that are not affected by the latest software update are not subject to expiration.
- You are unable to upload participating state returns that have expired to the Electronic Filing Status System. In this case, you will be prompted to install the latest Tax software.
- For a list of participating states, go to our Knowledge Base and search for *Which states require the 10 Business Day Rule for electronic filing?*

Number of days before expiration

This field is activated if any of the *Send e-mail* options have been selected. An e-mail will be sent before expiration due to the ten day limit based on the number of days entered here. The default number of days is 5.

Send notification to preparer when 8879 has not been received

If you select this box, an e-mail will be sent if Form 8879 has not been received within the number of days specified below. The e-mail is sent to the specified address as follows:

a. To the address in the field *E-mail address* below, if input.
b. If an alternate address is not input in *E-mail address*, the e-mail is sent to the preparer as designated on the return.
c. If neither of the above overrides are present, the e-mail is sent to the address that was input in the *Preparer e-mail address* field on Electronic Filing Options > ERO tab.

Number of days after "Ready to Release"

This field is activated if *Send notification to preparer when 8879* has not been received is selected. An e-mail will be sent to the preparer if Form 8879 has not been received within the number of days entered here. The default number of days is 3.

Notification Options

Send e-mail notification to e-mail address below in lieu of preparer

Select this box and enter an e-mail address in *E-mail address* to send the notification to an alternate address. This box is active only if you selected *Notify all preparers by e-mail* or if you have elected to receive notification for the 8879.

E-mail address. This field is enabled and you can enter an e-mail address when you have made either of these selections:

- If *Notify all preparers by e-mail* has been selected in the *Electronic filing notification to preparer option*, and you have selected *Send e-mail notification to e-mail address below in lieu of preparer*, an e-mail address is required here.
- If *Send notification to preparer when 8879 has not been received* has been selected, you can enter an alternate e-mail address for the notification.

Note: If a notification option is selected and the type of notification and taxing authority are not selected in the boxes below the e-mail address, the system will automatically select *Return* for type and *Federal* for taxing authority.

Select the type of notification to be received

If a notification to a client or preparer has been selected, the check boxes for Return and Extensions are enabled. Select one or both.

Select the taxing authority you want to receive notifications for

Check boxes for Federal, State/Cities and Report of Foreign Bank and Financial Accounts (FBAR) are available for selection. Any combination may be selected, or only one, if preferred.

5. Click **OK** when finished.

Configuring Electronic Corporation Notification Options

1. Click **Configure Applications**.
2. Highlight **Tax Preparation** and click **Configure**.
3. Select the office group for which you are establishing Electronic Filing options and click **OK**.
4. Highlight **Electronic Filing Notifications** and click **Setup**.

   For existing office groups, previously configured values from the electronic filing option tabs will be set as the default values on the new tabs.

Electronic Filing Notifications

E-mail notifications are free of charge. Postcard notifications are priced according to the latest Pricing Catalog for each taxing authority in the return.

E-mail notifications or postcards are sent for each taxing authority. For example, if you have a return for federal and four states, five e-mails or postcards will be sent. Each postcard will be charged.

Electronic filing notification to client option

When you choose to notify your clients by e-mail, you are authorizing Wolters Kluwer to act on your behalf and send e-mail notifications of taxing authority acceptance directly to your tax clients. CCH-ReturnNotification@wolterskluwer.com will be listed in the “From” address.

Select one of the following for clients to receive notifications when returns or extensions are accepted by a taxing authority:

- Notify all clients by e-mail
- Notify all clients by postcard
- Notify clients by postcard only if the e-mail address has not been input
- Send no notification to tax clients

Note: Notifications are not sent for MI or OH city returns or extensions acceptance.

Electronic filing notification to preparer option

Select one of the following for preparers to receive notifications when returns or extensions are accepted by a taxing authority:

- Notify all preparers by e-mail
- Notify all preparers by postcard
- Send no notifications to preparer

Note: Notifications are not sent for MI or OH city returns or extensions acceptance.

Electronic filing rejection notification to preparer option

Select one of the following for preparers to receive notifications when returns or extensions are rejected by a taxing authority:

- Send e-mail to preparer
- Send e-mail to alternate preparer e-mail address
- Send e-mail to both preparer and alternate
- Send no notifications

Electronic filing stopped notification to preparer option

Select one of the following for preparers to receive notifications when returns or extensions are stopped by the Tax system:

- Send no notifications (default)
- Send e-mail to preparer
- Send e-mail to alternate preparer e-mail address
- Send e-mail to both preparer and alternate

Electronic filing returns due to expire notification to preparer option

Most states require you to install the latest version of the Tax software within ten business days of the deployment of the next release. When a software release contains an update for a participating state, that state will not accept returns that are transmitted after the ten business day limit. In this case, you must install the latest version, recalculate, and retransmit.

Select one of the following for preparers to receive notifications when returns are nearing expiration due to the ten day limit:

- Send no notifications (default)
- Send e-mail to preparer
- Send e-mail to alternate preparer e-mail address
- Send e-mail to both preparer and alternate

Notes:

- State returns that are not affected by the latest software update are not subject to expiration.
- You are unable to upload participating state returns that have expired to the Electronic Filing Status System. In this case, you will be prompted to install the latest Tax software.
- For a list of participating states, go to our Knowledge Base and search for *Which states require the 10 Business Day Rule for electronic filing?*

Number of days before expiration

This field is activated if any of the *Send e-mail* options have been selected. An e-mail will be sent before expiration due to the ten day limit based on the number of days entered here. The default number of days is 5.

Send notification to preparer when 8879 has not been received

If you select this box, an e-mail will be sent if Form 8879 has not been received within the number of days specified below. The e-mail is sent to the specified address as follows:

a. To the address in the field *E-mail address* below, if input.
b. If an alternate address is not input in *E-mail address*, the e-mail is sent to the preparer as designated on the return.
c. If neither of the above overrides are present, the e-mail is sent to the address that was input in the *Preparer e-mail address* field on Electronic Filing Options > ERO tab.

Number of days after "Ready to Release"

This field is activated if *Send notification to preparer when 8879* has not been received is selected. An e-mail will be sent to the preparer if Form 8879 has not been received within the number of days entered here. The default number of days is 3.

Notification Options

Send e-mail notification to e-mail address below in lieu of preparer

Select this box and enter an e-mail address in *E-mail address* to send the notification to an alternate address. This box is active only if you selected *Notify all preparers by e-mail* or if you have elected to receive notification for the 8879.

E-mail address. This field is enabled and you can enter an e-mail address when you have made either of these selections:

- If *Notify all preparers by e-mail* has been selected in the *Electronic filing notification to preparer option*, and you have selected *Send e-mail notification to e-mail address below in lieu of preparer*, an e-mail address is required here.
- If *Send notification to preparer when 8879 has not been received* has been selected, you can enter an alternate e-mail address for the notification.

Note: If a notification option is selected and the type of notification and taxing authority are not selected in the boxes below the e-mail address, the system will automatically select *Return* for type and *Federal* for taxing authority.

Select the type of notification to be received

If a notification to a client or preparer has been selected, the check boxes for Return and Extensions are enabled. Select one or both.

Select the taxing authority you want to receive notifications for

Check boxes for Federal, State/Cities and Report of Foreign Bank and Financial Accounts (FBAR) are available for selection. Any combination may be selected, or only one, if preferred.

5. Click **OK** when finished.

Configuring Electronic S Corporation Notification Options

1. Click **Configure Applications**.
2. Highlight **Tax Preparation** and click **Configure**.
3. Select the office group for which you are establishing Electronic Filing options and click **OK**.
4. Highlight **Electronic Filing Notifications** and click **Setup**.

   For existing office groups, previously configured values from the electronic filing option tabs will be set as the default values on the new tabs.

Electronic Filing Notifications

E-mail notifications are free of charge. Postcard notifications are priced according to the latest Pricing Catalog for each taxing authority in the return.

E-mail notifications or postcards are sent for each taxing authority. For example, if you have a return for federal and four states, five e-mails or postcards will be sent. Each postcard will be charged.

Electronic filing notification to client option

When you choose to notify your clients by e-mail, you are authorizing Wolters Kluwer to act on your behalf and send e-mail notifications of taxing authority acceptance directly to your tax clients. CCH-ReturnNotification@wolterskluwer.com will be listed in the “From” address.

Select one of the following for clients to receive notifications when returns or extensions are accepted by a taxing authority:

- Notify all clients by e-mail
- Notify all clients by postcard
- Notify clients by postcard only if the e-mail address has not been input
- Send no notification to tax clients

Note: Notifications are not sent for MI or OH city returns or extensions acceptance.

Electronic filing notification to preparer option

Select one of the following for preparers to receive notifications when returns or extensions are accepted by a taxing authority:

- Notify all preparers by e-mail
- Notify all preparers by postcard
- Send no notifications to preparer

Note: Notifications are not sent for MI or OH city returns or extensions acceptance.

Electronic filing rejection notification to preparer option

Select one of the following for preparers to receive notifications when returns or extensions are rejected by a taxing authority:

- Send e-mail to preparer
- Send e-mail to alternate preparer e-mail address
- Send e-mail to both preparer and alternate
- Send no notifications

Electronic filing stopped notification to preparer option

Select one of the following for preparers to receive notifications when returns or extensions are stopped by the Tax system:

- Send no notifications (default)
- Send e-mail to preparer
- Send e-mail to alternate preparer e-mail address
- Send e-mail to both preparer and alternate

Electronic filing returns due to expire notification to preparer option

Most states require you to install the latest version of the Tax software within ten business days of the deployment of the next release. When a software release contains an update for a participating state, that state will not accept returns that are transmitted after the ten business day limit. In this case, you must install the latest version, recalculate, and retransmit.

Select one of the following for preparers to receive notifications when returns are nearing expiration due to the ten day limit:

- Send no notifications (default)
- Send e-mail to preparer
- Send e-mail to alternate preparer e-mail address
- Send e-mail to both preparer and alternate

Notes:

- State returns that are not affected by the latest software update are not subject to expiration.
- You are unable to upload participating state returns that have expired to the Electronic Filing Status System. In this case, you will be prompted to install the latest Tax software.
- For a list of participating states, go to our Knowledge Base and search for *Which states require the 10 Business Day Rule for electronic filing?*

Number of days before expiration

This field is activated if any of the *Send e-mail* options have been selected. An e-mail will be sent before expiration due to the ten day limit based on the number of days entered here. The default number of days is 5.

Send notification to preparer when 8879 has not been received

If you select this box, an e-mail will be sent if Form 8879 has not been received within the number of days specified below. The e-mail is sent to the specified address as follows:

a. To the address in the field *E-mail address* below, if input.
b. If an alternate address is not input in *E-mail address*, the e-mail is sent to the preparer as designated on the return.
c. If neither of the above overrides are present, the e-mail is sent to the address that was input in the *Preparer e-mail address* field on Electronic Filing Options > ERO tab.

Number of days after "Ready to Release"

This field is activated if *Send notification to preparer when 8879* has not been received is selected. An e-mail will be sent to the preparer if Form 8879 has not been received within the number of days entered here. The default number of days is 3.

Notification Options

Send e-mail notification to e-mail address below in lieu of preparer

Select this box and enter an e-mail address in *E-mail address* to send the notification to an alternate address. This box is active only if you selected *Notify all preparers by e-mail* or if you have elected to receive notification for the 8879.

E-mail address. This field is enabled and you can enter an e-mail address when you have made either of these selections:

- If *Notify all preparers by e-mail* has been selected in the *Electronic filing notification to preparer option*, and you have selected *Send e-mail notification to e-mail address below in lieu of preparer*, an e-mail address is required here.
- If *Send notification to preparer when 8879 has not been received* has been selected, you can enter an alternate e-mail address for the notification.

Note: If a notification option is selected and the type of notification and taxing authority are not selected in the boxes below the e-mail address, the system will automatically select *Return* for type and *Federal* for taxing authority.

Select the type of notification to be received

If a notification to a client or preparer has been selected, the check boxes for Return and Extensions are enabled. Select one or both.

Select the taxing authority you want to receive notifications for

Check boxes for Federal, State/Cities and Report of Foreign Bank and Financial Accounts (FBAR) are available for selection. Any combination may be selected, or only one, if preferred.

5. Click **OK** when finished.

Configuring Electronic Fiduciary Notification Options

1. Click **Configure Applications**.
2. Highlight **Tax Preparation** and click **Configure**.
3. Select the office group for which you are establishing Electronic Filing options and click **OK**.
4. Highlight **Electronic Filing Notifications** and click **Setup**.

   For existing office groups, previously configured values from the electronic filing option tabs will be set as the default values on the new tabs.

Electronic Filing Notifications

E-mail notifications are free of charge. Postcard notifications are priced according to the latest Pricing Catalog for each taxing authority in the return.

E-mail notifications or postcards are sent for each taxing authority. For example, if you have a return for federal and four states, five e-mails or postcards will be sent. Each postcard will be charged.

Electronic filing notification to client option

When you choose to notify your clients by e-mail, you are authorizing Wolters Kluwer to act on your behalf and send e-mail notifications of taxing authority acceptance directly to your tax clients. CCH-ReturnNotification@wolterskluwer.com will be listed in the “From” address.

Select one of the following for clients to receive notifications when returns or extensions are accepted by a taxing authority:

- Notify all clients by e-mail
- Notify all clients by postcard
- Notify clients by postcard only if the e-mail address has not been input
- Send no notification to tax clients

Note: Notifications are not sent for MI or OH city returns or extensions acceptance.

Electronic filing notification to preparer option

Select one of the following for preparers to receive notifications when returns or extensions are accepted by a taxing authority:

- Notify all preparers by e-mail
- Notify all preparers by postcard
- Send no notifications to preparer

Note: Notifications are not sent for MI or OH city returns or extensions acceptance.

Electronic filing rejection notification to preparer option

Select one of the following for preparers to receive notifications when returns or extensions are rejected by a taxing authority:

- Send e-mail to preparer
- Send e-mail to alternate preparer e-mail address
- Send e-mail to both preparer and alternate
- Send no notifications

Electronic filing stopped notification to preparer option

Select one of the following for preparers to receive notifications when returns or extensions are stopped by the Tax system:

- Send no notifications (default)
- Send e-mail to preparer
- Send e-mail to alternate preparer e-mail address
- Send e-mail to both preparer and alternate

Electronic filing returns due to expire notification to preparer option

Most states require you to install the latest version of the Tax software within ten business days of the deployment of the next release. When a software release contains an update for a participating state, that state will not accept returns that are transmitted after the ten business day limit. In this case, you must install the latest version, recalculate, and retransmit.

Select one of the following for preparers to receive notifications when returns are nearing expiration due to the ten day limit:

- Send no notifications (default)
- Send e-mail to preparer
- Send e-mail to alternate preparer e-mail address
- Send e-mail to both preparer and alternate

Notes:

- State returns that are not affected by the latest software update are not subject to expiration.
- You are unable to upload participating state returns that have expired to the Electronic Filing Status System. In this case, you will be prompted to install the latest Tax software.
- For a list of participating states, go to our Knowledge Base and search for *Which states require the 10 Business Day Rule for electronic filing?*

Number of days before expiration

This field is activated if any of the *Send e-mail* options have been selected. An e-mail will be sent before expiration due to the ten day limit based on the number of days entered here. The default number of days is 5.

Send notification to preparer when 8879 has not been received

If you select this box, an e-mail will be sent if Form 8879 has not been received within the number of days specified below. The e-mail is sent to the specified address as follows:

a. To the address in the field *E-mail address* below, if input.
b. If an alternate address is not input in *E-mail address*, the e-mail is sent to the preparer as designated on the return.
c. If neither of the above overrides are present, the e-mail is sent to the address that was input in the *Preparer e-mail address* field on Electronic Filing Options > ERO tab.

Number of days after "Ready to Release"

This field is activated if *Send notification to preparer when 8879* has not been received is selected. An e-mail will be sent to the preparer if Form 8879 has not been received within the number of days entered here. The default number of days is 3.

Notification Options

Send e-mail notification to e-mail address below in lieu of preparer

Select this box and enter an e-mail address in *E-mail address* to send the notification to an alternate address. This box is active only if you selected *Notify all preparers by e-mail* or if you have elected to receive notification for the 8879.

E-mail address. This field is enabled and you can enter an e-mail address when you have made either of these selections:

- If *Notify all preparers by e-mail* has been selected in the *Electronic filing notification to preparer option*, and you have selected *Send e-mail notification to e-mail address below in lieu of preparer*, an e-mail address is required here.
- If *Send notification to preparer when 8879 has not been received* has been selected, you can enter an alternate e-mail address for the notification.

Note: If a notification option is selected and the type of notification and taxing authority are not selected in the boxes below the e-mail address, the system will automatically select *Return* for type and *Federal* for taxing authority.

Select the type of notification to be received

If a notification to a client or preparer has been selected, the check boxes for Return and Extensions are enabled. Select one or both.

Select the taxing authority you want to receive notifications for

Check boxes for Federal, State/Cities and Report of Foreign Bank and Financial Accounts (FBAR) are available for selection. Any combination may be selected, or only one, if preferred.

5. Click **OK** when finished.

Configuring Electronic Employee Benefit Plan Notification Options

1. Click **Configure Applications**.
2. Highlight **Tax Preparation** and click **Configure**.
3. Select the office group for which you are establishing Electronic Filing options and click **OK.**
4. Highlight **Electronic Filing Notifications** and click **Setup**.

   For existing office groups, previously configured values from the electronic filing option tabs will be set as the default values on the new tabs.

Electronic Filing Notifications

E-mail notifications are free of charge. Postcard notifications are priced according to the latest Pricing Catalog for each taxing authority in the return.

E-mail notifications or postcards are sent for each taxing authority. For example, if you have a return for federal and four states, five e-mails or postcards will be sent. Each postcard will be charged.

Electronic filing notification to client option

When you choose to notify your clients by e-mail, you are authorizing Wolters Kluwer to act on your behalf and send e-mail notifications of taxing authority acceptance directly to your tax clients. CCH-ReturnNotification@wolterskluwer.com will be listed in the “From” address.

Select one of the following for clients to receive notifications when returns or extensions are accepted by a taxing authority:

- Notify all clients by e-mail
- Notify all clients by postcard
- Notify clients by postcard only if the e-mail address has not been input
- Send no notification to tax clients

Electronic filing notification to preparer option

Select one of the following for preparers to receive notifications when returns or extensions are accepted by a taxing authority:

- Notify all preparers by e-mail
- Notify all preparers by postcard
- Send no notifications to preparer

Electronic filing rejection notification to preparer option

Select one of the following for preparers to receive notifications when returns or extensions are rejected by a taxing authority:

- Send e-mail to preparer
- Send e-mail to alternate preparer e-mail address
- Send e-mail to both preparer and alternate
- Send no notifications

Electronic filing stopped notification to preparer option

Select one of the following for preparers to receive notifications when returns or extensions are stopped by the Tax system:

- Send no notifications (default)
- Send e-mail to preparer
- Send e-mail to alternate preparer e-mail address
- Send e-mail to both preparer and alternate

Send notification to preparer when 8879 has not been received

If you select this box, an e-mail will be sent if Form 8879 has not been received within the number of days specified below. The e-mail is sent to the specified address as follows:

a. To the address in the field *E-mail address* below, if input.
b. If an alternate address is not input in *E-mail address*, the e-mail is sent to the preparer as designated on the return.
c. If neither of the above overrides are present, the e-mail is sent to the address that was input in the *Preparer e-mail address* field on Electronic Filing Options > ERO tab.

Number of days after "Ready to Release"

This field is activated if *Send notification to preparer when 8879* has not been received is selected. An e-mail will be sent to the preparer if Form 8879 has not been received within the number of days entered here. The default number of days is 3.

Notification Options

Send e-mail notification to e-mail address below in lieu of preparer

Select this box and enter an e-mail address in *E-mail address* to send the notification to an alternate address. This box is active only if you selected *Notify all preparers by e-mail* or if you have elected to receive notification for the 8879.

E-mail address. This field is enabled and you can enter an e-mail address when you have made either of these selections:

- If *Notify all preparers by e-mail* has been selected in the *Electronic filing notification to preparer option*, and you have selected *Send e-mail notification to e-mail address below in lieu of preparer*, an e-mail address is required here.
- If *Send notification to preparer when 8879 has not been received* has been selected, you can enter an alternate e-mail address for the notification.

Note: If a notification option is selected and the type of notification and taxing authority are not selected in the boxes below the e-mail address, the system will automatically select *Return* for type and *Federal* for taxing authority.

Select the type of notification to be received

If a notification to a client or preparer has been selected, the check box for Return is enabled.

Select the taxing authority you want to receive notifications for

If you want to receive a notification regarding the Federal return, select the Federal check box.

5. Click **OK** when finished.

Configuring Electronic Exempt Organization Notification Options

1. Click **Configure Applications**.
2. Highlight **Tax Preparation** and click **Configure**.
3. Select the office group for which you are establishing Electronic Filing options and click **OK**.
4. Highlight **Electronic Filing Notifications** and click **Setup**.

   For existing office groups, previously configured values from the electronic filing option tabs will be set as the default values on the new tabs.

Electronic Filing Notifications

E-mail notifications are free of charge. Postcard notifications are priced according to the latest Pricing Catalog for each taxing authority in the return.

E-mail notifications or postcards are sent for each taxing authority. For example, if you have a return for federal and four states, five e-mails or postcards will be sent. Each postcard will be charged.

Electronic filing notification to client option

When you choose to notify your clients by e-mail, you are authorizing Wolters Kluwer to act on your behalf and send e-mail notifications of taxing authority acceptance directly to your tax clients. CCH-ReturnNotification@wolterskluwer.com will be listed in the “From” address.

Select one of the following for clients to receive notifications when returns or extensions are accepted by a taxing authority:

- Notify all clients by e-mail
- Notify all clients by postcard
- Notify clients by postcard only if the e-mail address has not been input
- Send no notification to tax clients

Note: Notifications are not sent for MI or OH city returns or extensions acceptance.

Electronic filing notification to preparer option

Select one of the following for preparers to receive notifications when returns or extensions are accepted by a taxing authority:

- Notify all preparers by e-mail
- Notify all preparers by postcard
- Send no notifications to preparer

Note: Notifications are not sent for MI or OH city returns or extensions acceptance.

Electronic filing rejection notification to preparer option

Select one of the following for preparers to receive notifications when returns or extensions are rejected by a taxing authority:

- Send e-mail to preparer
- Send e-mail to alternate preparer e-mail address
- Send e-mail to both preparer and alternate
- Send no notifications

Electronic filing stopped notification to preparer option

Select one of the following for preparers to receive notifications when returns or extensions are stopped by the Tax system:

- Send no notifications (default)
- Send e-mail to preparer
- Send e-mail to alternate preparer e-mail address
- Send e-mail to both preparer and alternate

Electronic filing returns due to expire notification to preparer option

Most states require you to install the latest version of the Tax software within ten business days of the deployment of the next release. When a software release contains an update for a participating state, that state will not accept returns that are transmitted after the ten business day limit. In this case, you must install the latest version, recalculate, and retransmit.

Select one of the following for preparers to receive notifications when returns are nearing expiration due to the ten day limit:

- Send no notifications (default)
- Send e-mail to preparer
- Send e-mail to alternate preparer e-mail address
- Send e-mail to both preparer and alternate

Notes:

- State returns that are not affected by the latest software update are not subject to expiration.
- You are unable to upload participating state returns that have expired to the Electronic Filing Status System. In this case, you will be prompted to install the latest Tax software.
- For a list of participating states, go to our Knowledge Base and search for *Which states require the 10 Business Day Rule for electronic filing?*

Number of days before expiration

This field is activated if any of the *Send e-mail* options have been selected. An e-mail will be sent before expiration due to the ten day limit based on the number of days entered here. The default number of days is 5.

Send notification to preparer when 8879 has not been received

If you select this box, an e-mail will be sent if Form 8879 has not been received within the number of days specified below. The e-mail is sent to the specified address as follows:

a. To the address in the field *E-mail address* below, if input.

b. If an alternate address is not input in *E-mail address*, the e-mail is sent to the preparer as designated on the return.

c. If neither of the above overrides are present, the e-mail is sent to the address that was input in the *Preparer e-mail address* field on Electronic Filing Options > ERO tab.

Number of days after "Ready to Release"

This field is activated if *Send notification to preparer when 8879* has not been received is selected. An e-mail will be sent to the preparer if Form 8879 has not been received within the number of days entered here. The default number of days is 3.

Notification Options

Send e-mail notification to e-mail address below in lieu of preparer

Select this box and enter an e-mail address in *E-mail address* to send the notification to an alternate address. This box is active only if you selected *Notify all preparers by e-mail* or if you have elected to receive notification for the 8879.

E-mail address. This field is enabled and you can enter an e-mail address when you have made either of these selections:

- If *Notify all preparers by e-mail* has been selected in the *Electronic filing notification to preparer option*, and you have selected *Send e-mail notification to e-mail address below in lieu of preparer*, an e-mail address is required here.
- If *Send notification to preparer when 8879 has not been received* has been selected, you can enter an alternate e-mail address for the notification.

Note: If a notification option is selected and the type of notification and taxing authority are not selected in the boxes below the e-mail address, the system will automatically select *Return* for type and *Federal* for taxing authority.

Select the type of notification to be received

If a notification to a client or preparer has been selected, the check boxes for Return and Extensions are enabled. Select one or both.

Select the taxing authority you want to receive notifications for

Check boxes for Federal, State/Cities and Report of Foreign Bank and Financial Accounts (FBAR) are available for selection. Any combination may be selected, or only one, if preferred.

5. Click **OK** when finished.

Linking the Desktop User ID to the SSO Staff ID

In CCH ProSystem *fx* Tax, you have the option to launch the Electronic Filing Status system from the Manage menu. To save time, if you link the desktop user ID to the SSO staff ID you will not need to enter your SSO login information to access the Electronic Filing Status system.

Note: You must log in to Office Manager as a supervisor to assign the links. The system will allow only a one-to-one association link. Linking several desktop users to a single SSO user is not permitted.

1. In Office Manager, select **Tools > Link SSO for Electronic Filing Status System**. The *Login to Internet* dialog displays.
2. Enter your SSO User ID and Password and click **Login**. The *Link SSO for Electronic Filing Status System* dialog displays, which lists all desktop user IDs, including those already linked to an SSO staff ID. Unlinked desktop IDs are blank in the *Staff Name* and *Staff ID* columns.

   Note: Click the column headings to sort by that item.

3. Select the unlinked desktop user ID you want to link.
4. Click **Link User** to display the *Select an SSO User* dialog, which displays all SSO staff IDs that are not currently linked to a desktop user ID.
5. Select the SSO user ID to link.
6. Click **OK** to save your selection and return to the *Link SSO for Electronic Filing Status System* dialog.
7. Repeat steps 3 through 6 for any additional desktop IDs you want to link.
8. Click **Close** when you have finished linking IDs.

Removing the Desktop User ID - SSO Staff ID Link

1. In Office Manager, select **Tools > Link SSO for Electronic Filing Status System**. The *Link SSO for Electronic Filing Status System* dialog displays.
2. Select the desktop user ID for which you want to remove the link.
3. Click **Remove Link**.

4. Click **Yes** on the confirmation dialog to remove the link and return to the *Link SSO for Electronic Filing Status System* dialog.

Printing the Desktop User ID - SSO Staff ID Link Report

1. In Office Manager, select **Tools > Link SSO for Electronic Filing Status System**. The *Link SSO for Electronic Filing Status System* dialog displays.
2. Click **Print**. A report detailing the desktop user IDs - SSO staff ID links prints.

Chapter 3

Preparing a Return or Extension Form for Electronic Filing

Before a return or extension form can be electronically filed, it must be designated and qualified for e-filing in Tax.

Designating Returns or Extensions for Electronic Filing

Use the following forms or worksheets to designate a tax return or extension for electronic filing. Worksheet, form, and field-level Help are available with instructions on completing each form or worksheet.

Return Type	Interview Form	Worksheet
1040 Individual	Federal: EF-1, EF-2, EF-3, EF-4 Specialized State: AL2	Federal: Federal > General > Electronic Filing Specialized State: Federal General > Electronic Filing > Section 5
1065 Partnership, 1120 Corporation, 1120S S Corporation, 1041 Fiduciary	EF-1, EF-2	Federal > General > Electronic Filing
5500 Employee Benefit Plan (not applicable for extensions)	Federal: EF-1, EF-2 8955-SSA: SSA-1, SSA 2	Federal: Federal > General > Electronic Filing 8955-SSA: Federal > Other > 8955-SSA - Stmt of separated Participants
990 Exempt Organization	EF-1, EF-1A, EF-2	Federal > General > Electronic Filing

For information about setting default electronic filing settings in Office Manager, see Configuring Electronic Filing Default Settings.

Designating State Returns for Magnetic Media Electronic Filing

Use the following forms or worksheets to designate a state tax return for electronic filing. Form and field-level Help are available with instructions on completing each form or worksheet.

State/Return Type	Interview Form	Worksheet
Arkansas / Partnership	AR1	Federal > General > Electronic Filing > Section 4
Arkansas / S Corporation	AR1	Federal > General > Electronic Filing > Section 4
New Jersey / Partnership	NJ14	Federal > General > Electronic Filing > Section 4
New Jersey / S Corporation	NJ14	Federal > General > Electronic Filing > Section 4

Qualifying Returns or Extension Forms

The Diagnostics report is an interactive report in Tax that lists the descriptions of errors and warnings that could affect the accuracy of a prepared tax return. Electronic filing data should be qualified using the Diagnostic report. If a return or extension form does not qualify, the reason is identified in the report. Diagnostics are cleared from the report after errors or warnings are corrected, the return is calculated, and the report is regenerated.

You can also review or print the Diagnostics report by selecting the Preparer Reports print option in Tax.

Qualifying Returns for New Jersey Magnetic Media

Qualified New Jersey nonresident individuals can participate in a Composite Gross Income Tax return, Form NJ-1080-C, and do not have to file their own income tax return with New Jersey, provided that they meet certain criteria.

Entities eligible to file composite returns on behalf of the above individuals are:

- Professional Athletic teams
- Partnerships
- Limited Partnerships
- Limited Liability Company
- Estates & Trusts
- New Jersey Electing S Corporation

The New Jersey Division of Taxation requires that the list of nonresident individuals (participants and non-participants) listed in Form NJ-1080-C Sch A, NJ-1080-C Sch B, and NJ-1080-C Sch C for Partnership and S Corporation return types to be filed with a Microsoft® Excel® file on diskette or re-writable CD if there are 25 or more participants. The system provides a diagnostic when New Jersey magnetic media is required for the return.

Links to the return, diskette, and Microsoft® Excel® file requirements are listed beside *NJ-1080C - Diskette Specifications Directory* on the following New Jersey website:

http://www.state.nj.us/treasury/taxation/prntgit.shtml

The Federal > General > Electronic Filing > Section 4 worksheet *State Electronic Filing* option or the return configuration set 1065/Partnership or 1120S/S Corporation electronic filing option, *Create New Jersey NJ-1080-C diskette file*, must be selected.

Verifying PDF Attachments

Some return types require PDF attachments when electronically filing. Open the Federal > General > Electronic Filing worksheet and verify if the required, optional, or both PDF attachments are present in the worksheet sections relating to PDF Attachments.

See the following topics for more information:

- *About PDF Attachments in Electronically Filed Returns* on page 50
- *Attaching PDF Files for Electronic Filing* on page 51

Basic Rules for Electronic Filing

Review the following basic rules for electronic filing:

- Returns must be designated and qualified before they can be electronically filed.
- Personal Identification Numbers (PIN) are required by the IRS. Enter the taxpayer's and, if appropriate, spouse's five digit PIN and the ERO PIN on Interview Form EF-1 or the General > Electronic Filing worksheet.
- All return information must be submitted electronically to be e-filed. You cannot use Individual Forms 19, 20, or 21 to include manual forms or schedules.

Dates Available to e-file

Electronic filing is available for the following 2021 returns:

Return Type	Dates Available to e-file
Individual	Returns filed after e-file opens in early 2022 Form 4868 until April 18, 2022 Form 2350 until April 18, 2022
Partnership	Returns filed after e-file opens in early 2022
Corporation	Returns filed after e-file opens in early 2022
S Corporation	Returns filed after e-file opens in early 2022
Fiduciary	Returns filed after e-file opens in early 2022
Employee Benefit Plan	Returns filed after forms release
Exempt Organization	Returns filed after e-file opens in early 2022

Points to Remember

Individual Returns

- The Electronic Filing Status System will not allow you to e-file a state only return after transmitting the federal return, unless an entry is made on Interview Form EF-1 or the General > Electronic Filing worksheet, indicating to not transmit the Federal return.

Partnership Returns

- The general partner and signature authorization are required on Form 8879-PE. For extensions, enter **2** to Print Form 7004 on Interview Form EXT-1, Box 30 or the Extensions > Extensions worksheet. Form 8879-PE must be signed on or before the day of the electronic transmission. (See IRS Publication 4163 for complete details on signatures required on Form 8879-PE.)
- The New Jersey Division of Taxation requires Participant and Nonparticipant Directory information (Form NJ-1080-C) to be filed on diskette when there are 25 or more participants.

  The NJ-1080-C data file is stored in the X:\Wfx32\NJ1080C\20YY where X is the drive where Tax is installed, and YY is the tax year of the return. The client ID consists of the file name with an extension of *.NJP for Partnership returns and *.NJS for S Corporation. For filing purposes, you can use Windows® Explorer to copy the file to diskette.

  Note: The NJ-1080-C files are not deleted from the Wfx32\NJ1080C\20YY directory automatically by the system. You must manually delete the files when they are no longer needed.

- Amended Partnership returns can be electronically filed.

Fiduciary Returns

- MeF is the only allowable format to transmit Fiduciary returns electronically.
- Amended Fiduciary returns can be electronically filed.

Employee Benefit Plan Returns

- The filing signer's Signature PIN and ID number are required on Interview Form EF-3 or the General > Electronic Filing worksheet, under Signature Information. The filing signer(s) must obtain their credentials (PIN and ID number) by registering with the DOL at http://www.efast.dol.gov. They must have an EFAST2 PIN and ID, even if they already have a PIN and ID for EFAST. These credentials may not be shared with anyone, including the CPA/preparer. The client may enter this information remotely.
- Amended Employee Benefit Plan returns can be electronically filed.

Form 4868

You are not required to mail the IRS, unless a balance due is being paid by check. The Taxpayer's PIN is only needed when an automatic withdrawal of payment is requested.

State Returns

Most states require you to install the latest version of the Tax software within ten business days of the deployment of the next release. When a software release contains an update for a participating state, that state will not accept returns that are transmitted after the ten business day limit. In this case, the return is considered expired and you must install the latest version, recalculate, and retransmit.

You can set the option for signers to receive notifications when returns are nearing expiration due to the ten day limit, and then enter the number of days before expiration in Office Manager.

You can also filter returns that are nearing expiration in the Electronic Filing Status System.

Notes:

- State returns that are not affected by the latest software update are not subject to expiration.
- This state requirement does not apply to Employee Benefit Plan returns.
- You are unable to upload participating state returns that have expired to the Electronic Filing Status System. In this case, you will be prompted to recalculate the return.
- For a list of participating states, go to our Knowledge Base and search for *Which states can expire for electronic filing?*

About PDF Attachments in Electronically Filed Returns

Some return types require that you attach supporting documents as PDF files when you electronically file a return. You can attach the PDF files using Interview Form EF-PDF1 or the Federal > General Electronic Filing worksheet. The PDF files are embedded in the return so that you can view them any time you access the return.

During the electronic filing export process, a list of PDF file names, modified dates, categories (*Required* or *Optional*), and associated forms displays. You can review the content of each PDF before export.

Keep in mind the following requirements when attaching PDF files to a return:

- Each PDF must have a unique name. If you attach a PDF with the same name as another PDF that is already in the return, the first PDF will be overwritten.
- The PDF files must not be password-protected.
- The combined size of all PDF files attached to one electronic return submission cannot exceed 1 GB (roughly 5,000 pages).
- Individual PDF files cannot exceed 60 MB (approximately 500 pages). Files in excess of this size can be split into smaller PDF files.
- Separate PDF files must be created for each form type (for example, one file for Forms 926, one file for Forms 982).
- PDF files with the same name can be attached to different occurrences in the return, provided each has a unique attachment code.

Also, be aware that support of PDF attachments varies from state to state. Some states support only required PDFs, some support both required and optional PDF attachments, and others do not support PDF attachments at all.

Attaching PDF Files for Electronic Filing

Some return types require that you attach supporting documents as PDF files when you electronically file a return. You can attach the PDF files using Interview Form EF-PDF1 or the Federal > General > Electronic Filing worksheet. The PDF files are embedded in the return so that you can view them any time you access the return.

To attach a PDF to a return for electronic filing, do the following:

1. Review the IRS and DOL requirements for required PDF attachments.
2. Open the return to be electronically filed.
3. Open one of the Federal > General > Electronic Filing worksheet sections or Interview Form EF-PDF1 or, for 5500 returns, Form PDF-1 sections below.

Interview Forms	
Return Type	**PDF Attachment Sections on EF-PDF1**
Individual, Corporation, S Corporation, Partnership, Employee Benefit Plan	PDF Attachments
Fiduciary	PDF Attachments: Specific Forms All Other PDF Attachments

Interview Forms	
Return Type	**PDF Attachment Sections on EF-PDF1**
Exempt Organization	PDF Attachments: Specific Forms All Other Approved PDF Attachments

Worksheet View	
Return Type	**PDF Attachment Sections on Worksheet Federal > General > Electronic Filing**
Individual	Section 9 - PDF Attachments
Fiduciary	Section 7 - PDF Attachment - Required Section 8 - PDF Attachment - Optional
Partnership	Section 7 - PDF Attachments
Corporation, S Corporation	Section 6 - PDF Attachments
Exempt Organization	Section 6 - PDF Attachments - Specific Forms
Employee Benefit Plan	Section 2 - PDF Attachments

Note: Section numbers for some return types vary slightly, depending on the tax year.

4. If needed, double-click the **Code** field and select the applicable attachment code. If you are attaching a required PDF, the file name is automatically entered in the Attachment Name field. If the PDF is optional, enter the IRS or DOL attachment name.
5. Double-click a blank **PDF File Name** box or, for Exempt Organization, **Attachment Location** box.

   Note: Only one PDF file can be attached to each section occurrence. If there are other PDF files already attached, click **Add** at the top of the section to attach another PDF.

6. On the Attach File window, do one of the following:
   - Select **Your machine or device** to browse to and select a PDF from a location on your machine or device, and then click **Open**.

- Select **Document** to list the available PDFs that are stored for the client in Document. For clients that are not linked to Document, you are prompted to do so before continuing. Browse to and select a PDF from a Document location, and then click **Open**. PDF files for the return tax year display by default, if available, but you can browse to another Document location, if needed.

  Notes:

  - The following conditions must be met:
    - Document is licensed and installed.
    - You are assigned the necessary Document permissions.
  - Files that are downloaded from Document are saved only in the tax return and not on your machine or device.

7. Select other applicable information in the PDF Attachments section, such as FS and State codes. Specific information for states that use the FS and State boxes is included in the states' instructions.
8. To attach another PDF, click **Add** at the top of the section, and then complete steps 4 - 7.
9. Save the return.

   Notes: If you do not save the return, the PDF file is removed from the tax return.

Returns Ineligible for Electronic Filing

The following sections include common reasons a tax return is excluded from electronic filing.

Ineligible Individual Returns

This section lists common reasons a tax return is excluded from electronic filing. For additional information, visit www.IRS.gov.

The IRS excludes certain returns from electronic filing:

- Returns with a power of attorney currently in effect for the refund to be sent to a third party and if Form 1310, Part 1, Boxes A and B, are present
- Returns with a taxpayer Social Security Number not within the following ranges:
  - 001-01-0001 - 665-99-9999
  - 667-01-0001 - 899-99-9999
- Returns including Form 2441, with the taxpayer or spouse showing no earned income
- Returns with an entry on Form 4255 for the tax from property ceasing to be at risk
- Returns with an overpaid windfall tax amount
- Returns that require special consideration or procedures for completion, such as returns for taxpayers who have received waivers from the IRS
- Dual Status Form 1040NR cannot be electronically filed

Tax has the following additional limitation: Manually calculated forms and schedules disqualify a return. All the information must be accessible to the computer to transmit a correct return to the IRS.

Ineligible Partnership Returns

This section lists the most common reasons a Partnership tax return is excluded from electronic filing. For additional information, refer to IRS Publications 4163 and 4164.

- Returns with tax years ending prior to December 31, 2018
- Returns granted approved waivers from electronic filing

Tax has the following additional limitation: Manually calculated forms and schedules disqualify a return. All the information must be accessible to the computer to transmit a correct return to the IRS.

Ineligible Corporation/S Corporation Returns

The most common reasons a Corporation or S Corporation tax return is excluded from electronic filing are listed below. For a complete list of ineligible returns, refer to IRS Publication 4163.

- Returns covering multiple tax periods
- Prompt assessment
- Bank Holding Company Tax Act
- Returns with tax periods ending prior to December 31, 2018
- 1120-L and 1120-PC standalone returns or Parent returns cannot be e-filed

Ineligible Fiduciary Returns

The most common reasons a Fiduciary tax return is excluded from electronic filing are listed below. For a complete list of ineligible returns, refer to IRS Publication 1437.

- Returns for part-year residents of a state, or cities associated with that state
- Returns reporting liabilities for nonresident tax for cities associated with the particular state
- Returns for decedents with Social Security Numbers NOT within the following ranges:
  - 001-01-0001 - 699-99-9999
  - 700-01-0001 - 733-99-9999
  - 750-01-0001 - 763-99-9999
  - 764-01-0001 - 899-99-9999
- Returns with any dollar amount greater than $99,999,999,999
- Returns with refund amounts equal to or greater than $1,000,000

Ineligible Employee Benefit Plan Returns

The most common reasons an Employee Benefit Plan tax return is excluded from electronic filing are listed below. For additional information, refer to the DOL website.

- Form 5558
- Filings partially filed electronically and partially on paper

- Filings for which sections of the form are filed at different times rather than filed at the same time
- Unsigned filings; that is, filings submitted without including the PIN and Signer ID as an electronic signature

Tax has the following additional limitation: You cannot attach files such as Microsoft® Word documents, Microsoft® Excel® spreadsheets, or basic text files to your electronic file. PDFs are the only attachments allowed.

Ineligible Exempt Organization Returns

The most common reasons an Exempt Organization tax return is excluded from electronic filing are listed below. For additional information, please refer to IRS Publication 4163.

- Filings from organizations not recognized as exempt (such as an application pending)
- Filings showing a name change
- Filings showing a change in accounting period
- Filings using a non-U.S. return address (this applies only to Form 990-PF)
- Filings with non-IRS forms attached or non-numbered attachments
- Filings from organizations and government agencies that are excluded from the filing requirement
- Filings from short period returns (except for short period final returns)
- Filings from private foundations in 60 month terminations

Chapter 4

Exporting Returns and Extensions to Electronic Filing Status

Electronic filing data can be exported from Tax to the Electronic Filing Status System for all return types except Estate & Gift. The data can then be released from the Electronic Filing Status System to the appropriate taxing authorities. You must have the appropriate permission rights to electronically file returns.

Once you designate and qualify a return or extension form for electronic filing and complete data entry, you can export an electronic file to the Electronic Filing Status System. An export of a tax return overwrites a previously exported file for that return.

For Example: A tax return uploaded with Federal, Alabama, and Wisconsin first and then the same return uploaded with Federal and Alabama before the first one is released, Wisconsin will not be sent.

See *Chapter 3 - Preparing a Return or Extension Form for Electronic Filing* on page 46 for information about designating and qualifying returns.

During the export process, you have two methods of obtaining the taxpayer signature:

- **Paper Signature**. Print the return signature forms to send to the taxpayer for a paper signature.
- **Digital Signature**. Send the return to CCH® eSign for a digital signature. For an overview about CCH eSign interface, see *The CCH® eSign Interface* on page 59. For more detailed information, see CCH® eSign Guides and References.

1. In Tax Preparation, click **Calc** to calculate the return.
2. Check the return's diagnostics to ensure that the return qualifies for electronic filing. If it does not qualify, use the diagnostics to determine the reasons for disqualification. If the return qualifies, it is prepared for release (authorization).
3. Select one of the following depending on the type of document you are exporting:
   - **File > Export > Electronic Filing > Return**
   - **File > Export > Electronic Filing > Extension**
   - **File > Export > Electronic Filing > New York IT-204-LL**
   - **File > Export > Electronic Filing > Report of Foreign Bank and Financial Accounts**
   - **File > Export > Electronic Filing > 8955-SSA**

4. Select the return units to file electronically. Qualified units are selected by default. The units that were previously filed electronically were refreshed with the current electronic filing statuses when you opened the return.

   Notes:

   - You cannot select returns with Disqualified and Not Available statuses and they do not upload. But, they show in the Electronic Filing Status System so you can track the remaining returns to be filed.
   - The *Previous Electronic Filing Status* column displays the status of the electronic file and is updated when the return is opened and after the return is exported the first time. If the return is exported multiple times, the *Previous Electronic Filing Status* column is not updated until you close and reopen the return.

5. Do the following, if applicable:
   - If you are exporting an Individual return, select **Send for eSign** to request a digital signature for authorization forms. The CCH eSign package consists of e-file signature authorization forms, the client copy of the return, any user attached PDFs, and any requested filing instructions. The CCH eSign package cannot exceed 20 MB or 2,000 pages. If the CCH eSign package exceeds 20 MB, you are given the option to exclude user attached PDFs to reduce the file size. If the CCH eSign package exceeds 2,000 pages, return information cannot be sent to CCH eSign, regardless if the file size is under 20 MB.
6. Click **Export**.
7. If there are no PDF files attached to the return, skip to step 8.

   If PDF files are attached to the return (required for Corporation, S Corporation, Partnership, or Exempt Organization returns), a list of PDF file names, modified dates, categories (*Required* or *Optional*), and associated forms displays.
8. Click **Export**.
9. On the *Electronic Filing Options* dialog, select whether or not to print the forms you are electronically filing.
   - If you do not want to print the forms, select **Export to electronic filing only**.
   - To export the forms for print, select **Export to electronic filing and print**, and then select the print options.
     i. Select a print destination.
     ii. For PDF files only, choose the watermark to display in the print background. The watermark options are Confidential, Copy, Do Not File, Draft, and File Copy. Watermarks can be added or deleted by office group in **Configure Applications > Tax Preparation > Print Options** from Office Manager.
     iii. If you are not using TrueType fonts and are printing to a printer, click **Load Fonts** to download fonts to the selected printer.
     iv. Click **OK**. If you selected *To PDF file* or *To PDF file and to printer*, the *Save PDF Files As* dialog displays. Do the following:

a. If needed, change the folder where the PDF will be created, by entering a location in the *Save in* field.
b. If needed, change the file name, by entering the file's new name in the *E-file Document* field.
c. Click **Save**.

Note: If you click **Cancel** on the *Electronic Filing Options* dialog, the export and/or print for electronic filing is canceled. No forms or files are produced. You must run the export process again to electronically file and/or print this return.

10. Select your connection type from the list.
11. Select one of the following options:
    - Upload and hold. Uploads the selected return to the Electronic Filing Status System and holds the return for manual release to the taxing authority.
    - Upload and release. Uploads the return to the Electronic Filing Status System and releases the return to the taxing authority automatically.

      Note: This option is not available if you selected Send for eSign.

Note: Most states require you to install the latest version of the Tax software within ten business days of the deployment of the next release. When a software release contains an update for a participating state, that state will not accept returns that are transmitted after the ten business day limit. In this case, the return is considered expired and you must calculate the return on the latest version.

12. Click **Start**. If signature forms have been prepared and you did not select Send for eSign, you are prompted to print the required signature forms.
    - An IRS or DOL formatted file is created and uploaded. For Individual returns, a fileable Form 8879 or authorization form prints. For Partnership, Corporation, S Corporation, Fiduciary, and Exempt Organization returns, a fileable Form 8879-PE, 8453-PE, Form 8879-F, Form 8879-C, Form 8879-S, Form 8453-FE, or Form 8879-EO prints.
    - After the IRS-formatted file is created, fileable Form 8879 or authorization forms can be printed until the return is recalculated using the Selective Pages or Entire Return print option in Tax.
    - If an electronic return is recalculated, a non-fileable message appears on the respective Form 8879 or authorization form until you generate a new electronic return file. An export of a tax return overwrites a previously exported file for that return.

Obtaining Authorization Form Signatures

Taxpayers and, if applicable, spouses must sign the following authorization forms before returns can be released to taxing authorities:

- Form 8879-PE or 8453-PE for a Partnership return
- Form 8453-F or 8879-F for a Fiduciary return

- Form 8879-EO or 8453-EO for an Exempt Organization
- Form 8879 for an Individual return
- Forms 8879-C and 8879-S for Corporation and S Corporation returns

The taxpayer and ERO are required to sign a return with a PIN entered on the General > Electronic Filing worksheet or Interview Form EF-1.

For Employee Benefit Plan returns, the General > Electronic Filing worksheet and Interview Form EF-2 should contain PINs and EFAST2 IDs for the Administrator, Sponsor, and DFE, or the Service Provider and a PDF scan of the signed signature page.

You have two methods of obtaining signatures:

- Obtain paper signatures. Print the return signature forms to send to the taxpayer and, if applicable, spouse for a paper signatures. You can print the authorization forms to obtain paper signatures before or after exporting the return.
- Obtain digital signatures. Send the return to CCH eSign to obtain digital signatures. This option is provided during the export process. For more detailed information, see CCH eSign Guides and References.

The CCH® eSign Interface

For 1040/Individual returns, you can upload the return and request a digital signature for authorization forms. You can also request a digital signature for authorization forms for each 1040/Individual state that recognizes eSign as an acceptable signature method. Returns sent for eSign can be tracked and are billed through the Electronic Filing Status System.

This option is only available if your firm is licensed for CCH® eSign, CCH® eSign account information is configured in Firm Setup, and for the following conditions:

- The option to electronically sign on the Electronic Filing Options window in Office Manager is selected.
- If a return contains a state that does not permit eSign and the disqualified overwrite option is not utilized in Tax, that state must be exported separately for a paper signature.
- The return is not amended, IT-204LL (New York), an extension, or a filing of Foreign Bank and Financial Accounts (FBAR).
- *Create an electronic data file to be transmitted with third party software* is not enabled on the General > Electronic Filing > Electronic Filing Options worksheet.
- Diagnostics are cleared for missing or invalid information.
  - Taxpayer name
  - Taxpayer email address
  - Taxpayer SSN
  - Spouse name (if filing jointly)
  - Spouse email address (if filing jointly, the spouse email address must be distinct from the taxpayer email address)
  - Spouse SSN (if filing jointly)

- Taxpayer address
- Firm name from the signature block, ERO, or return override information
- ERO email address, signer's email address, or return override information

For complete information about setting up and managing an eSign account and a list of states that allow eSign, see CCH® eSign Guides and References.

Tracking eSign Status

The Electronic Filing Status System tracks returns that are sent for eSign and the date signed documents are received. When a return requesting eSign is uploaded for electronic filing, it is tagged with the eSign icon. Upon completion of the signatures, the Signature Form-Received column is automatically updated with the date of the signature. The date is shown in blue font. If the taxpayer does not eSign and instead sends a paper signature, you can manually enter the date of receipt. The manually entered date is shown in black font.

To prevent inadvertent releasing returns before a signature is received, the returns sent for eSign do not show on the Release Returns tab until a date has been entered in the Signature Form-Received column.

Chapter 5

USING THE ELECTRONIC FILING STATUS SYSTEM

To access the Electronic Filing Status System, do any of the following:

- From CCH ProSystem *fx*:
  - Click the **Electronic Filing Status** desktop icon located in the CCH ProSystem *fx* program group.
  - From Tax Preparation, click the **Electronic Filing Status** icon on the Tax Preparation toolbar, or select **Manage** > **Electronic Filing Status**. You can add this icon to your toolbar by going to Options > Customize Toolbar.

    Note: This application is not available to CCH ProSystem *fx* laptop systems.
- To access directly from the internet, launch your web browser and go to efile.prosystemfx.com.

Notes:

- You are required to log back in after 30 minutes of inactivity.
- You must have a minimum resolution of 1024 x 768 to view the Electronic Filing Status System properly.

Filtering and Searching for Returns

Locate returns using filters or search for returns for a specific client using the Filter/Search panel. Click the up or down arrow to collapse or expand the panel.

Your filter or search results display in the grid. You can sort most columns in either ascending or descending order and, if the returns exceed one page, use the right and left arrows below the grid to display more results.

Filtering Returns

1. On the Filter panel, select any filtering criteria from the drop-down lists or options provided.

   CCH ProSystem *fx* filters

   - Tax Year
   - Office
   - Office Groups

- Return Type
- Date From and To*
- Due to Expire**
- Preparer
- Federal, State, and/or FBAR
- Exclude Returns on Extension
- Show Returns with Signature Forms Not Received
- Status

*Not available when you select a Due to Expire filter.

** Returns are considered expired if they are not calculated using the most current version within 10 days of the version release date. If your firm uses the Upload and Hold option when exporting returns from Tax, you may need to recalculate and export returns on the latest version.

2. Click **Go**. The Federal Status and State Status columns show the status of the return or extension.

Searching for a Single Client

1. On the Search panel, select a search method: Return ID, Name (Last, First), or SSN/FEIN (all digits are required; hyphens are optional).
2. Enter the search criteria in the box.
3. Click **Search**. The Federal Status and State Status columns show the status of the return or extension.

Icons Used in the Search Results List

Icon	Description
	**Password protected return**. To view the return history, you will be required to enter the password to view all return history fields.
	**PDF attachment**. This displays if a PDF file is attached to the return, and the return is a Corporation, S Corporation, Partnership, or Exempt Organization.
	**Not Accepted**. This return is either in a rejected or stopped status. For an FBAR return, this indicates that further action is required for the return to remain timely filed.
	**Alert**. This indicates that an alert has been applied to this return. For returns in accepted status, the alert contains details provided by the taxing authority (IRS and/or State applicable). For returns in another status, the alert may contain details provided by the system.
	**Stop Return**. Within the Change Status page, the return may be stopped.
	**Delete Return**. Within the Change Status page, the return may be deleted.
	**Paper Filed Return**. Within the Change Status page, the return may be flagged as Paper Filed.

Icon	Description
	N/A. Within the Change Status page, the Paper Filed flag is not applicable for the return.

Return Type Identifiers Used in the Search Results List

Icon	Return Type
X	Amended
	eSign Selected
e$t	Estimated Payment
F	Final
FX	Final Amended
FS	Final Superseded
SY	Short Year
SYX	Short Year Amended
SYS	Short Year Superseded
	CCH Axcess™ Tax
S	Superseded
	Multi-state with non-regular return or extension type(s)

Notes:

- There are several reasons a return may not appear in the list:
  - The return was not successfully exported for electronic filing.
  - The return was deleted.
  - The return was selected for eSign, and the 'Signature Form-Received' date column is still blank (this applies to the Release Return(s) page only).
- Extension type returns display in the grid with a different row color.

- At times, the text equivalent of an icon will appear instead of the icon, as follows:
  - **(x)**, Amended
  - **(f)**. Final
  - **(fx)**. Final Amended
  - **(fs)**. Final Superseded
  - **(sy)**. Short-Year
  - **(syx)**. Short-Year Amended
  - **(sys)**. Short-Year Superseded
  - **(s)**. Superseded
  - **(i)**. Multi-state with non-regular return or extension type(s)
- The product descriptions are as follows:
  - **1040**. Individual
  - **1065**. Partnership
  - **1041**. Fiduciary
  - **1120**. Corporation
  - **1120S**. S-Corporation
  - **990**. Exempt
  - **5500**. Employee Benefit Plan
  - **4868/2350**. Individual Extensions
  - **7004P**. Partnership Extensions
  - **7004F/8868**. Fiduciary Extensions
  - **7004C**. Corporation Extensions
  - **7004S**. S-Corporation Extensions
  - **8868**. Exempt Extensions

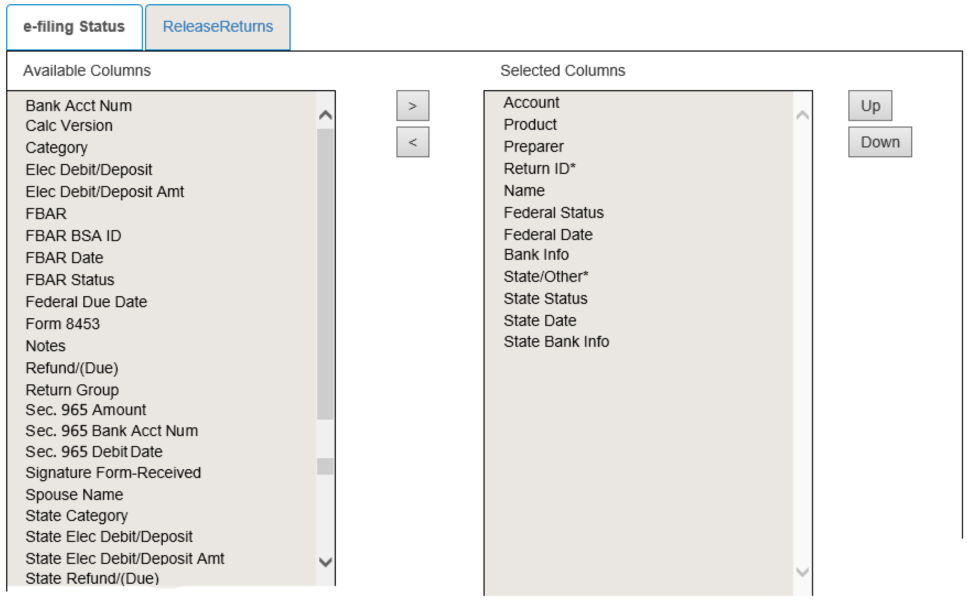
Customizing Grid Columns

You can customize and save your column preferences for the e-filing Status and Release Returns(s) views. Your preferences are retained when you revisit each view or log back into the Electronic Filing Status System.

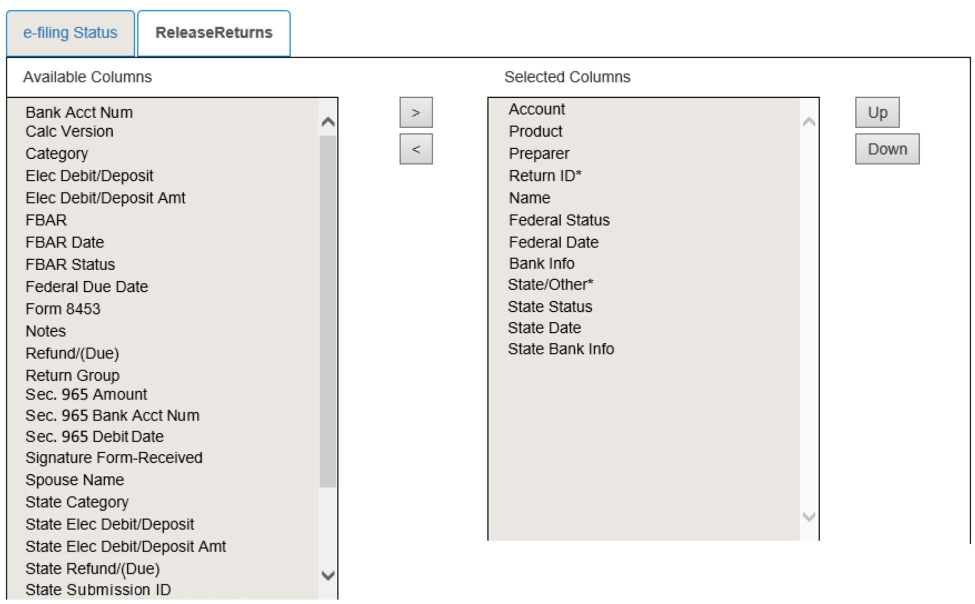
See Column Descriptions for an explanation of the data displayed in each grid column.

1. Click **Select Columns** on the toolbar. The View Preferences Page window displays.
2. Select desired page to apply preferences to.

   e-filing Status tab



   Release Return(s) tab



3. Do any of the following:
   - **Add a column**. Select a column for your view from the Available Columns list and click the **right-arrow**. The following columns can be added to the custom view:
     - Account
     - Bank Acct Num

- Bank Info
- Calc Version
- Category
- Elec Debit/Deposit
- Elec Debit/Deposit Amt
- FBAR
- FBAR BSA ID (e-filing Status tab only)
- FBAR Date
- FBAR Status
- Federal Date
- Federal Due Date
- Federal Status
- Form 8453
- Name
- Notes
- Preparer
- Product
- Refund/(Due)
- Return Group
- Sec. 965 Amount
- Sec. 965 Bank Acct Num
- Sec. 965 Debit Date
- Signature Form - Received
- Spouse Name
- State Bank Info
- State Category
- State Date
- State Elec Debit/Deposit
- State Elec Debit/Deposit Amt
- State Refund/(Due)
- State Status
- State Submission ID
- Submission ID
- Telephone Number
- Year End

- Order Columns. Select a column in the Selected Columns list and click the **up** or **down arrow**.
- Remove a column. Select a column in the Selected Columns list and click the **left arrow**.

Note: Return ID and State/Other are required columns and cannot be removed.

- Restore Default View. Click **Restore Default View** to display the system's default settings.
  - Account
  - Product
  - Preparer
  - Return ID
  - Name
  - Federal Status
  - Federal Date
  - Bank Info
  - State/Other
  - State Status
  - State Date
  - State Bank Info

4. Click **Save Changes** to retain your customized view.

Additional Information

- Category and State Category. Displays additional information for the type of return.
- FBAR BSA ID. This column is available for the e-filing Status tab only.
- Form 8453. For Individual returns only. From the e-filing Status tab, when you click **Forms Attached** in this column, the attachments/documents to be mailed display.
- Notes. Read-only from the Release Return(s) tab. From the e-filing Status tab, do the following to enter a form-free note:
  a. Click the **Notes** icon and do either of the following:
     - Add a note. Enter text in the Notes pane and click **OK**.
     - Delete a note. Click **Clear**.
  b. Click **Save** at the top of the grid to save the note.
- Refund/(Due) and State Refund/(Due). Displays a refund amount or amount due.

  Note: The amount is masked if the return is password protected.
- Return Group. Return Group and Office Group are synonymous.
- Return ID. This column is required.
- Sec. 965. Displays the Federal Section 965 amount, the last four digits of the bank account number, and the date for the payment.

  Note: The amount and bank account information are masked if the return is password protected.
- Signature Form - Received. Read-only from the Release Return(s) tab. From the e-filing Status tab, do the following:

   a. Enter the date the signed paper form is received from the taxpayer.
   b. Click **Save** at the top of the grid to save the date, which displays in black font.

   Upon completion of electronic signature(s) for a return requesting eSign, the Signature Form-Received column is automatically updated in real time with the electronic signature date, which displays in blue font. For a joint return, this is the date of the second (spouse) signature.

   Note: If the return is selected for eSign and the Signature Form-Received date column is blank, the return will not display in a Filter/Search on the Release Return(s) page.

- **State/Other**. This column is required.

Printing and Exporting the Filter or Search Results List

After filtering or searching returns, you can print or export the results.

Do the following:

1. Log in to the Electronic Filing Status System.
2. Filter returns or perform a search, as described in *Filtering and Searching for Returns* on page 61.
3. Do one of the following:
   - Click **Print** to print the results list to a printer or a PDF file. Column headers will only print on the first page.
   - Click **Export** to export all grid headings and content to an XLS spreadsheet file. You can then choose to reformat the exported data.

Notes:

- The icons and return type identifiers listed in *Filtering and Searching for Returns* on page 61 are not included in the print output or export.
- Depending on the number of columns, printing the results list may result in some of the columns printing outside the page range. Printing in portrait or landscape works when the column "default view" is selected. Otherwise, you may need to reduce the number of columns to show all detail on one page.

Viewing, Printing, and Exporting Return History

Use this option to view, print, and export a return history including a detailed report for all activity done on the client’s return. The following information for a return may display:

- **Heading Information**
  - Product
  - Category (Federal; not displayed for Regular Return or Extension Types)
  - IRS Center
  - Name

    - e-Postmark
    - FEIN (Business returns only)
    - Plan Number (5500 returns only)
    - Type of Notification sent
    - Fiscal Year Begin Date (when applicable)
    - Fiscal Year End Date (when applicable)
    - eSigned (date of the most recent electronic signature, when applicable)
    - IRS Message (when applicable)
- Return Information
    - Date of Activity
    - Return ID (including the version; displays for the Upload Started activity)
    - Type of Activity
    - Submission ID
    - Refund/(Due)
    - Updated By
    - eSign Date (displays for the Transmitted status, when applicable)
- ID Grid (when applicable)
    - ID
    - Status Date
    - Status
    - State/Other
    - State Category
    - FBAR
    - FBAR BSA ID

Note: Depending upon your access rights, some of the information may be unavailable.

To print or export the return history, do the following:

1. Log in to the Electronic Filing Status System.
2. Filter returns or perform a search, as described in *Filtering and Searching for Returns* on page 61.
3. Click the **Return ID** for which you want to view the history.
4. If the return is password protected, click **Enter Password** to view all return history fields. Enter the password and click **OK**.
5. You can do the following:
    - Review the activity done on the client's return.
    - Link to the Reject Report or Alert Report that provides an explanation and, if applicable, solution to any exception that may occur. If a reject or alert was issued for the return, a link to the corresponding report appears in the Type of Activity column.
    - Click **Print** to print the return history to a printer or a PDF file.

- Click **Export** to export the return history to an XLS spreadsheet file. You can then choose to reformat and print the exported data.

Batch Printing and Exporting Return Histories

You can view, print, and export all return histories on a page using the Batch Export History button. The return histories will include the same information listed in *Viewing, Printing, and Exporting Return History* on page 68.

Note: Depending upon your access rights, some of the information may be unavailable.

To print or export the return history, do the following:

1. Log in to the Electronic Filing Status System.
2. Filter returns or perform a search, as described in *Filtering and Searching for Returns* on page 61.
3. Click **Batch Export History** at the bottom-right of the screen.

   Note: Password protected returns will not display sensitive information in the Return Histories list unless the password was provided when looking at the individual return history.

4. Do either of the following:
   - Review all the activity done on the client's returns.
   - Click **Print** to print all return histories to a printer or a PDF file.
   - Click **Export** to export all return histories to an XLS spreadsheet file. You can then choose to reformat and print the exported data.

Tip: To avoid columns spanning across pages, set **Landscape Orientation**, **Narrow Margins**, and **Fit All Columns on One Page** in Microsoft® Excel® Page Setup.

Changing the Status of a Return or Deleting a Return

Use this procedure to stop a return from being transmitted to the taxing authorities, or to delete a return from the Electronic Filing Status System.

Note: If a return has a current status of **Transmitted** or **Ready to Transmit**, transmission of the return cannot be reversed or halted.

1. Log in to the Electronic Filing Status System.
2. Click the **Change Status** tab. Returns with any status other than *Accepted by Taxing Authorities* display.
3. Filter returns or perform a search, as described in *Filtering and Searching for Returns* on page 61.

4. Locate the file you want to stop transmission of or to delete, and do one of the following:
   - Click **Stop** to stop both the federal and state returns from being transmitted to the taxing authority.
   - Click **Paper** if you will mail the return instead of filing electronically. (This option is available for rejected returns only.)
     a. Select each taxing authority return to be paper filed.
     b. Click **Paper File**.
   - Click **Delete** to delete the selected return from the Electronic Filing Status System. Use the delete option to remove a return that you are certain will never be released for transmission to the IRS or DOL. (This option is not available for returns with a status of Accepted or Transmitted.)
5. Click **Yes** on the confirmation window.

Notes:

- If there is more than one page of returns, use the navigation arrows at the bottom of the page to go to the additional pages.
  - **First and previous pages**. The left arrows display the first and previous pages.
  - **Next and last pages**. The right arrows display the next and last pages.
- The options available will depend on your assigned rights.
- If a return is deleted in error, it cannot be retrieved. It must be re-calculated and re-exported to recreate the electronic file.
- You can customize the columns on the Search Results View. See *Customizing Grid Columns* on page 64.

Sending Signature Form e-mail Reminders

Use this tab to send an e-mail to clients who have not returned a completed Signature Form for the rows selected.

An email reminder is sent if the following criteria are met:

- A return has a status of Ready to Release by Customer.
- The Signature Form - Received column is blank.
- The Taxpayer email address is available.

To send reminders, do the following:

1. Log in to the Electronic Filing Status System.
2. Click the **Reminder(s)** tab. The Reminder Information window displays the returns that have not received a Signature Form back from the client.
3. Select the rows that contain the returns you want to send a reminder for using one of the following methods:
   - Select the box next to specific returns.
   - Click **Select All** to choose all of the returns displayed on the page.

- Click **De-Select All** to clear all of the returns displayed on the page.

  Note: If there is more than one page of returns, use the navigation arrows at the bottom of the page to go to the additional pages.

  - First and previous pages. The left arrows display the first and previous pages.
  - Next and last pages. The right arrows display the next and last pages.

4. Click **Send Reminder(s)**. The Reminder Results page displays, showing the number of reminders successfully sent and the number of reminders selected but not sent.

Releasing a Return for Electronic Filing

Use this procedure to release a return for electronic filing. You must first export and upload the return from Tax to the Electronic Filing Status System. See *Chapter 4 - Exporting Returns and Extensions to Electronic Filing Status* on page 56 for more information.

To release returns to the taxing authority, if you did not choose the option Upload and release to tax authority when creating the electronic file, do the following:

1. Log in to the Electronic Filing Status System.
2. Click the **Release Return(s)** tab.
3. Locate returns using filters or search for returns for a specific client using the Filter/Search panel. Click the up or down arrow to collapse or expand the panel. See *Filtering and Searching for Returns* on page 61 for more information.
4. Do any of the following:
   - Select returns to release using one of the following methods:
     - Select the box next to specific returns.
     - Click **Select All Displayed** to choose all returns displayed on the page.
     - Click **De-Select All Displayed** to clear all returns displayed on the page.

     Note: If there is more than one page of returns, use the navigation arrows at the bottom of the page to go to the additional pages.

       - First and previous pages. The left arrows display the first and previous pages.
       - Next and last pages. The right arrows display the next and last pages.

   - Click **Print** to print the results list to a printer or a PDF file. Column headers will only print on the first page.
   - Click **Export** to export all grid headings and content to an XLS spreadsheet file. You can then choose to reformat the exported data.

Notes:

- The icons and return type identifiers listed in *Filtering and Searching for Returns* on page 61 are not included in the print output or export.
- Depending on the number of columns, printing the results list may result in some of the columns printing outside the page range. Printing in portrait or landscape works when the column "default view" is selected. Otherwise, you may need to reduce the number of columns to show all detail on one page.

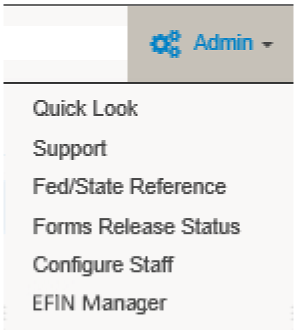
5. Click **Release Returns** below the grid. The Release Information window displays only returns with a current status of *Ready to Release by Customer*.
6. Do any of the following to change, print, or export your selected returns:
   - Select returns to release using one of the following methods:
     - Select the box next to specific returns.
     - Click **De-Select All** to clear all returns.
     - Click **Select All** to choose all returns.
   - Click **Print** to print the product, return ID, and name detail summary to a printer or PDF file.
   - Click **Export** to save the product, return ID, and name detail summary in an XLS spreadsheet file.
7. Click **Release Returns(s)** to immediately send the returns for transmission to the IRS or DOL.
8. Select the **e-filing Status** tab to view the status of your e-filed returns. See *Checking Return e-filing Status* on page 78 for more information.

Notes:

- Electronic Filing Status System transmissions to the IRS or DOL occur 24x7, minus scheduled IRS maintenance windows.
- Transmissions will commence when the IRS is ready to accept tax return data. For specific start-up dates for Exempt, Fiduciary, Individual, Partnership, Corporation, and S Corporation returns, please refer to updates at www.IRS.gov or from CCH Software News.
- The DOL anticipates Employee Benefit Plan return processing will begin sometime after January 1, 2022.

Accessing Electronic Filing Administration Tools and References

The Electronic Filing Status System provides direct links to our Customer Support site as well as staff configuration and Electronic Filing Identification Number (EFIN) management. Click **Admin** on the toolbar and select from the options below.



- Select **Quick Look** to review the availability of each tax product and taxing authority for the different types of electronic filing, such as amended, consolidated, combined, extensions, and magnetic filing. See Accessing ELF Quick Look for more information.
- Select **Support** access our Customer Support site and search our Knowledge Base for additional information.
- Select **Federal/State Reference** to look up information for the e-file coordinator for each taxing authority, as well as other general e-filing information.
- Select **Forms Release Status** to look up information for the forms for each taxing authority, such as form number, anticipated release available, and the current form status.
- Select **Configure Staff** to review staff default settings. This option displays if you are granted the functional right to configure staff.
- Select **EFIN Manager** to manage EFIN data for your firm and view the associated Vendor Control Numbers (VCNs).

  Note: EFIN Manager is not listed on the Admin menu if the grid in the active tab is filtered to display All offices.

  See Using EFIN Manager for more information

Electronic Filing Guides

The Electronic Filing Support page includes links to the following electronic filing guides:

- Electronic Filing Guide
- Deadline Guide
- Electronic Filing Consolidated and Other Returns Guide

Using EFIN Manager

The IRS assigns an Electronic Filing Identification Number (EFIN) to identify firms that have completed the IRS e-file Application and are approved to be an authorized e-file provider. The EFIN and associated Tracking Number are included in the e-file Application Summary on the IRS e-Services site. After you enter these numbers in EFIN Manager and the IRS approves the information, a VCN is assigned to the EFIN.

Add. review, or edit the EFINs, Tracking Numbers, and VCNs that are assigned to your firm in the Electronic Filing Status System using EFIN Manager.

Notes:

- To access EFIN Manager, you must be granted the functional right to release returns from the Electronic Filing Status System.
- Tracking Number is a required number for electronic filing beginning with tax year 2017.
- VCN is a required number for electronically filing Individual 1040 returns.

Adding EFIN Information

Note for CCH ProSystem *fx*: EFINs are associated with a firm's account number. In CCH Axcess, all values in the Offices filter relate to the account number that you are logged in with. For CCH ProSystem *fx* offices can be related to different account numbers. For this reason, if you are a CCH ProSystem *fx*user, you must first select a specific office on the Filter/Search panel.

1. Select **Admin** > **EFIN Manager** from the toolbar.
2. Click **Add EFIN** on the EFIN Manager window.
3. Enter the EFIN that was assigned by the IRS to authorize electronic filing.
4. Enter the IRS Tracking Number associated with the EFIN.
5. Click **Continue**.
6. For verification, re-enter the EFIN and Tracking Number.
7. Click **Confirm**.
8. If your entries match, click **OK** to continue.
9. Select an eligible account number for the EFIN. You can select multiple account number boxes for a single or multiple EFINs, if needed. You can also change the account number selection at a later time.

   Note: The account name that is associated with the account number(s) automatically displays.

10. Click **Save**.

    Note: Allow approximately 48 hours for the IRS to validate the EFIN. You can then access EFIN Manager to find the VCN that will be associated with your EFIN.

Reviewing Your Firm's EFIN Information

EFIN Manager displays the following grid headings:

Heading	Description
Active	Determines if an EFIN is activated for use by the firm.
EFIN	Lists the EFINs that were assigned by the IRS to authorize electronic filing.
Tracking Number	Lists the IRS Tracking Number that is associated with each EFIN.

Heading	Description
Account Number	Lists the firm account number that is associated with each EFIN. Multiple account numbers can be associated to one EFIN. In the case of multiple accounts, you can click **Multi** in the grid to show the associated numbers.
Account Name	Lists the account name that is associated with each account number. In the case of multiple accounts, you can click **Multi** in the grid to show the associated names.
Vendor Control Number	Lists the VCN that is associated with each EFIN. Each Individual (1040) return electronically filed with a specific EFIN must include the associated VCN.
Update	Allows you to update the Active status and associated account number(s). You can also select to hide or delete an inactive EFIN. See *Editing and Deleting EFIN Information* below for more information.

EFIN Activity

You can view the name of the staff who added or last updated an EFIN so you can contact the staff, if needed. Hover over any row on the EFIN Manager window to display the staff name.

Note: The activity displays for EFINs that are added or updated after 5/20/2018.

Editing and Deleting EFIN Information

1. Click **Edit** in the Update column on the EFIN Manager window to do any of the following:

Active	Change the status of an EFIN between Active and Inactive. An inactive EFIN can be later re-activated, if needed.
Hide/Delete	Select to hide or delete an inactive EFIN. The Hide and Delete options are available only after the Active box is cleared. **Warning**: Deleted EFIN data cannot be restored. **Notes**: • To delete an EFIN, you must have access to all accounts that it is associated with. • If you select to hide an EFIN, you must also click **Do not display hidden EFINs** on the EFIN Manager window to remove the EFIN from the grid display.
Account Number	Select a different value from the eligible account numbers for the EFIN. You can select multiple account number boxes, if needed.

2. Click **Save**.

Note: The *Last Update by* column displays the name of the staff who added or last edited the EFIN. This activity displays for EFINs that are added or updated after 5/20/2018.

Additional Information

- See more information about EFINs.
- See more information about Vendor Control Numbers.
- See information about entering the EFIN and VCN in Office Manager > Electronic Filing Options.

Chapter 6

After Transmitting the Return

After you have transmitted your return, you need to do the following:

- Check the Return's e-filing Status
- Check Status Codes
- View the Rejected Returns Report
- View the Alert Report

Checking Return e-filing Status

The Electronic Filing Status System allows you to view and check the status of all your electronically filed returns. Diagnostic and support tips in the Electronic Filing Status System explain any rejection codes in clear terms.

To view the e-filing status for a return, perform a search as described in *Filtering and Searching for Returns* on page 61. Review the *e-filing* status in the grid, located below the Filter/Search Panel.

If a return contains multiple units submitted for eSign, you can view the status and eSign date of each unit in return history.

Notes:

- If there is more than one page of returns, use the navigation arrows at the bottom of the page to go to the additional pages.
  - **First and previous pages**. The left arrows display the first and previous pages.
  - **Next and last pages**. The right arrows display the next and last pages.
- The Filter/Search Panel may be collapsed to allow presentation of more rows, per page. A collapsed Filter/Search Panel may be expanded to make the panel once again visible.

Status Codes

The following status codes are available within the Electronic Filing Status System:

Category: Not Released

- **Ready to Release by Customer**. The return was uploaded and is ready to be released to the IRS or DOL.
- **Upload Failed, please re-process**. The file upload process failed to complete and the return must be re-uploaded.
- **Upload Canceled**. The file upload process has been canceled and the return must be re-uploaded.
- **Upload Started**. The file has been queued for upload to the server. This status should only take a few seconds; if it takes longer, re-upload the return.

Category: Released

- **Released for Transmission - Validation in Progress**. The return has been released for transmission to the IRS or DOL and is being validated. Later verify if the return receives an *Accepted* status.
- **Ready to Transmit - Validation Complete**. The return has been released and validated and is in the transmission process to the IRS or DOL.
- **Transmitted**. The return has been transmitted and is awaiting acknowledgments from the IRS or DOL.
- **Holding for Transmission - No Action Required by Customer**. (Individual returns only) The return is being held for legislature extensions or until the time transmission is allowed.

Category: Not Accepted

Sub-Category: Rejected

- **Rejected**. The IRS or DOL has rejected the return for processing. See *Viewing the Reject Report* on page 82 for more information. Make any necessary corrections, and then recalculate, re-upload, and re-transmit the return.
- **Rejected by Federal, State Not Submitted**. The return was rejected at the federal level with no state level return being submitted.
- **Amendment Required - Timely filed**. The Foreign Bank Account Report (FBAR) has been accepted as timely filed with the Department of the Treasury; however, additional information must be provided by the preparer to the Department of the Treasury within 30 days in order for the return to remain timely filed.

Sub-Category: Stopped - Action Required

- **Paper Filing Required**. If a return was rejected, you can change the status of the return to Paper Filed from the Change Status window or in the Rejection Report. This section allows you to indicate which taxing authority returns you will paper file.

- **Stopped by Customer**. If you stopped transmission of a return on the Change Status tab, the Stopped by Customer status will display. See *Changing the Status of a Return or Deleting a Return* on page 70 for more information. You may also receive this status for one of the following reasons: if the state record is too large, because of a multi-state extension, a state schema version change, or an incomplete transmission.
- **Stopped for IRS Schema Change**. The return was stopped because IRS pre-defined rules have changed. Recalculate the return on the newest version and re-upload the return.
- **Stopped by Support at Customer Request**. The return was stopped because a client was not able to do so.
- **Stopped: Recalc and Resubmit State-Only**. The return was stopped because of a calculation problem. Recalculate the return and submit it as a state-only record.
- **State Record is too Large, Resend as Federal Only**. Processing was stopped due to the excessive size of the state record. Reprocess only the federal return.
- **Stopped for State Schema Change**. Processing of the return was stopped for a change to the state schema.
- **Stopped: Please Recalculate on Latest Release**. The return was stopped and must be reprocessed on the latest release.
- **Transmission incomplete, please re-process**. Transmission of the return failed to complete. Reprocess the return.
- **Duplicate or Incorrect SSN, Correct and Resubmit**. The return was stopped due to either a duplicate or incorrect social security number. Correct the SSN and resubmit the return.
- **Incorrect EIN, Correct and Resubmit**. The return was stopped due to either a duplicate or incorrect employer identification number. Correct the EIN and resubmit the return.
- **Missing and Incorrect EFIN, Correct and Resubmit**. The return was stopped due to either a duplicate or incorrect EFIN. Correct the number and resubmit the return.
- **Return Canceled - Upload of Updated Return Failed from Tax**. The previous upload of a return was not released and a subsequent attempt to upload the same return has failed.
- **Disqualified or Not Yet Available for Filing**. This return was exported with a state that was disqualified or not approved. Resubmit the state only return when ready to electronically file. This status is also available under category: Paper filed/Not e-filed.
- **EFIN Disallowed for e-filing**. The EFIN utilized has not been provided to Wolters Kluwer, has been deleted, is marked inactive, or a VCN has not been created. See *Validate and Use an Electronic Filing Identification Numbers (EFIN)* on page 92 for more information.
- **EFIN Mismatch with VCN on File**. The EFIN utilized is missing, does not match the EFIN in EFIN Manager, or does not match the provided VCN. See *Using EFIN Manager* on page 74 for information about viewing your firm's EFINs and associated VCNs.
- **Year Not Active per DOL**. The DOL (Employee Benefit Plan Forms 5500 and 5500-SF) is not allowing Tax Year 2018 forms to be filed on the 2018 Form versions starting January 1, 2021. File Tax Year 2018 and prior returns on the 2020 Form version.

Sub-Category: Stopped - CCH Reviewing

- **Stopped for CCH review**. The return is being reviewed by Wolters Kluwer. After you receive the review notification, re - upload the return. Contact Support for assistance as needed.
- **Byte Count Error**. The return was stopped for review by Wolters Kluwer because of an incorrect byte count. Recalculate, re-upload, and re-transmit the return.
- **Blank Form Error, PDF Error, Schema Validation Error, Missing State Information, Missing or Incorrect ProSystem *fx* Account Number, Previous Upload in Process**.

Category: Accepted

- **Accepted**. The return has been accepted by the IRS or DOL for processing.
- **Conditional Acceptance**. (Individual returns; certain states) When a state issues a conditional acceptance, it allows the state additional time to do further processing to determine if additional information is required. The state will sometimes send letters or notifications to ask taxpayers for additional information. Once that additional information is supplied on paper by the preparer/taxpayer, the state is able to officially accept the return and issue a new acceptance acknowledgment.
- **State Notification - Additional Info Required**. (Individual returns; certain states) For states that issue a notification of missing information, such as Forms W-2, 1099 and 8453, the return will not be processed by the state until the missing information is received.
- **Imperfect Return - Fix for Next Year**. (Individual returns) The IRS will accept a previously rejected return that has been rejected for Reject Code 501 or 504 (rejections for the dependent Social Security Number) if Interview Form EF-2, Box 70 or the General > Electronic Filing worksheet is marked. This alerts the IRS when they are processing the return the second time that the taxpayer knows the SSN is incorrect, but wants to file electronically anyway. The IRS will accept these returns, but they will display a status code of *Imperfect Return*. These returns will go through additional checks with the IRS and the IRS may disallow the EIC credit or dependent exemption for the dependent whose SSN is in question. Returns with this status will take additional processing time at the IRS, causing the refund for the taxpayer to be delayed up to four to six weeks.
- **Return Delivery Receipt**. For certain Michigan and Ohio cities, a receipt of delivery of the return to the city is received. This is not an official e-file acknowledgment. An alert will be provided, containing a link to contact information for obtaining an official city acknowledgment.

  For additional information, refer to the following Knowledge Base articles:
  - Contact information for Michigan Cities
  - Contact information for Ohio Cities

Category: Paper Filed/Not e-filed

- **Paper Filed by Customer**. The return must be paper filed. This status will prevent seeing previous rejections.
- **Status Set to Paper Filed, as Customer Request**. The return had its status set to paper filing per the customer's request. This status will prevent seeing previous rejections.

- **Extension Stopped - Return Already Accepted**. The return has been accepted, but the extension has not been sent.
- **Return Canceled at Customer Request**. The return has been canceled by Wolters Kluwer at the customer's request and the return will not be uploaded to the server.
- **Disqualified or Not Yet Available for Filing**. The return was exported with a state that was disqualified or not approved. Resubmit the state only return when ready to electronically file. This status is also available under category: Not Accepted > Stopped - Action Required.

Viewing the Reject Report

To view the Reject Report for a return, do the following:

1. Log in to the Electronic Filing Status System.
2. Filter returns or perform a search, as described in *Filtering and Searching for Returns* on page 61.
3. Click the link in the row of the return next to the Not Accepted indicator. If there are multiple states, click the *Multi* link, and then click the link in the window. The Reject Report window displays.
4. Do one of the following:
   - Click **Export** to export the report contents to an XLS spreadsheet file. You can then choose to reformat and print the exported data.
   - Click **Change status to paper filed** to mail the return instead of filing electronically, when applicable.

   Note: If the return is password protected, click **Enter Password** to view all fields. Enter the password and click **OK**.

After you have determined the reason for the rejection and fixed the return, recalculate and resubmit the return electronically or by paper.

You are responsible for tracking and resolving rejected returns and for resubmitting the return electronically or by paper. If a rejection is related to a transmission problem, the system will retransmit the data until acceptance is achieved.

Notes:

- You can also link to the Reject Report from the Type of Activity column in return history.
- Failure to take action on a notification could result in the state return being rejected.

View the following topics for information on ineligible returns. For a complete listing of ineligible return conditions, refer to http://www.irs.gov.

Individual

Partnership

Corporation/S Corporation

Fiduciary

[Employee Benefit Plan](#)

[Exempt Organization](#)

Viewing the Alert Report

To view the Alert Report for a return, do the following:

1. Log in to the Electronic Filing Status System.
2. Filter returns or perform a search, as described in *Filtering and Searching for Returns* on page 61.
3. Click the link in the row of the return next to the Alert indicator. If there are multiple states, click the *Multi* link, and then click the link in the window. The Alert Report window displays.
4. Click **Export** to export the report contents to an XLS spreadsheet file. You can then choose to reformat and print the exported data.

   Note: If the return is password protected, click **Enter Password** to view all fields. Enter the password and click **OK**.

For a complete listing of ineligible return conditions, refer to http://www.irs.gov.

Notes:

- You can also link to the Alert Report from the Type of Activity column in return history.
- Failure to take action on a notification could result in the state return being rejected.
- An alert may also be contained within the Reject Report.

Viewing the Schema Validation Error Report

Taxing authorities use a schema, similar to a template, to designate where information goes in the electronic file. When required information is missing or in a different format than the schema requires, the return is stopped for a schema validation error.

Generally, partial data entries are the most common schema validation errors. The following guidelines may prevent such errors:

- Be sure to always enter complete addresses.
- If you want *None* or *N/A* for a specific field, leave the field blank.
- Avoid government form overrides.
- Avoid using the special characters #, [,], &, -, <, %, +, and /.

To view the Schema Validation Error Report for a return, do the following:

1. Log in to the Electronic Filing Status System.
2. Filter returns or perform a search, as described in *Filtering and Searching for Returns* on page 61.

3. Click the **Schema Validation Error** link in the row of the return. If there are multiple states, click the *Multi* link, and then click the **Schema Validation Error** link in the window. The Schema Validation Error Report window displays.
4. Click **Export** to export the report contents to an XLS spreadsheet file. You can then choose to reformat and print the exported data.

Notes:

- After you have determined the reason for the schema validation error and fixed the return, recalculate and resubmit the return electronically or by paper.
- You are responsible for tracking and resolving schema validation error returns and for resubmitting the return electronically or by paper.

Electronic Filing Acknowledgment Status

Employee Benefit Plan

The EFAST2 system, on behalf of the DOL, provides an acknowledgement for processable filings as soon as they are received and the acknowledgement is sent back to the software provider.

- The status of a filing is available within 20 minutes of submission of the filing. Filers must make corrections electronically by submitting an amended filing.
- The IRS system which handles Form 8955-SSA electronic filing can take up to 14 calendar days to return an acknowledgment.
- Please refer to online FAQs 35 through 40 at https://www.dol.gov/sites/dolgov/files/EBSA/about-ebsa/our-activities/resource-center/faqs/efast2-form-5500-processing.pdf.
- The EFAST2 Quick Start Guide also contains information regarding submissions to the EFAST2 system. The guide is available from the Help menu on the efast.dol.gov website.

All Other Tax Products

IRS acceptance of the transmission indicates that the electronic filing process was successful and, in all probability, will proceed as expected. An IRS acceptance acknowledgment is usually issued from 24 to 48 hours after sending the return.

Notifications

Office Manager in CCH ProSystem *fx* Tax offers the following options to set defaults for receiving electronic filing status notifications:

Electronic Filing Status - Accepted

- **Electronic filing notification to client option**. Select one of the following for clients to receive notifications when returns or extensions are accepted by a taxing authority:
    - Notify all clients by email
    - Notify all clients by postcard
    - Notify clients by postcard only if the email address has not been input
    - Send no notification to tax clients
- **Electronic filing notification to preparer option**. Select one of the following for preparers to receive notifications when returns or extensions are accepted by a taxing authority:
    - Notify all preparers by email
    - Notify all preparers by postcard
    - Send no notification to preparer

Electronic Filing Status - Rejected

- **Electronic filing rejection notification to preparer option**. Select one of the following for preparers to receive notifications when returns or extensions are rejected by a taxing authority:
    - Send no notifications
    - Send e-mail to preparer
    - Send e-mail to alternate preparer e-mail address
    - Send e-mail to both preparer and alternate

Electronic Filing Status - Stopped

- **Electronic filing stopped notification to preparer option**. Select one of the following for preparers to receive notifications when returns or extensions are stopped by the Tax system:
    - Send no notifications
    - Send e-mail to preparer
    - Send e-mail to alternate preparer e-mail address
    - Send e-mail to both preparer and alternate

Email notifications are free of charge. Since email provides more space than a postcard, emailed notifications for Individual clients contain more information from Form 9325, such as how to check on the status of the refund, the date the return was accepted by the IRS, and the IRS service center to which the return was transmitted. Therefore, your clients will have fewer questions for you concerning their e-filed returns. Postcard notifications are priced according to the latest Pricing Catalog. Email notifications and postcards are sent for each taxing authority. For example, if you have a return for federal and four states, five emails or postcards will be sent. Each postcard will be charged.

For more information about electronic filing status codes and options, see the following:

- **Accepted, Rejected, and Stopped statuses**. *Status Codes* on page 79
- **CCH Axcess return configuration set**. Managing Signer and Return Configuration Set Electronic Filing Settings

- **ProSystem fx Office Manager**. *Configuring Office Manager Electronic Filing Settings* on page 8

Mailing Forms to the IRS

Within three business days after an Individual return is accepted by the IRS, you must batch any required Forms 8453 and submit them to the appropriate electronic filing IRS service center. To avoid facing penalties and/or suspension from the electronic filing program, make sure you comply with the following IRS requirements:

- Maintain copies of all Forms 8453 you submit. The IRS suggests, though it is not required, that you also keep copies of all appropriate attachments.
- Ensure that all Forms 8453 are fully and correctly completed.
- Ensure that all appropriate attachments are included.
- Ship the forms within three business days after acceptance to:

  Internal Revenue Service

  Attn: Shipping and Receiving, 0254

  Receipt and Control Branch

  Austin, TX 73344-0254

Note: The Employee Benefit Plan return is entirely paperless for Forms 5500 and 5500-SF; therefore, you are not required to mail any forms.

Receiving Refunds for Individual Returns

Certain liability conditions may cause a refund amount to be offset after the Individual return has been accepted. The IRS acknowledgment will contain information if any of the following conditions exist:

- Delinquent Federal tax
- Delinquent state tax
- Delinquent student loan
- Delinquent child support
- Back payments owed to other states and/or Federal agencies

Data related to outstanding debts will be displayed under return history in the Electronic Filing Status System.

You should tell taxpayers how to follow up on returns and refunds by pointing out the Where's My Refund feature on IRS.gov. If taxpayers do not have access to the internet, then you should provide taxpayers with the IRS Tele-Tax return information number, (800) 829-4477. Either of these options gives the date of depositing or mailing of their refund.

Before checking on refunds, taxpayers should wait at least three weeks from the time the IRS acknowledges acceptance of the return data. Because the IRS updates refund information each weekend, taxpayers should be advised to check only once a week to avoid checking with no possibility of success.

To check on refunds, taxpayers need to enter the first Social Security Number shown on their tax return, the filing status and the exact amount of the refund in whole dollars.

If taxpayers do not receive their direct deposit within one week (or refund check within 30 days) of the date given, they may call the Refund Hotline number at (800) 829-1954, which has information about taxpayers’ refunds (when it becomes available).

Because of disclosure laws, the IRS cannot provide information through Tax regarding refund delays or reasons the refund cannot be honored as a direct deposit. Likewise, the IRS cannot provide this information to the practitioner unless a current power of attorney is on file at the IRS. The client will need to contact the IRS for detailed information regarding offsets and delays.

Individual Balance Due Returns

For balance due returns filed electronically, Form 1040-V, Payment Voucher, must accompany the payment, which prints upon export if paying by check. The mailing address for e-filed returns is, in most cases, different than paper returns. Refer to the instructions for Form 1040-V or the transmittal letter and filing instructions generated by Tax, which reference the correct mailing address.

Electronic Funds Withdrawal is available to pay a balance due for e-filed returns. Basic Data worksheet > Direct Deposit/Electronic Funds Withdrawal section (BNK-1) is used to make the necessary entries to use Electronic Funds Withdrawal.

Invoice Abbreviations

You will see the following abbreviations on your invoice for items electronically filed.

Abbreviations for Types of Return

Abbreviation	For Type of Return
AME	Amended
EXT	Extension
FAM	Final - Amended
FIN	Final
FSU	Final - Superseded
REG	Regular
SUP	Superseded
SYA	Short-Year - Amended
SYR	Short-Year
SYS	Short-Year - Superseded

Abbreviations for Categories of Returns

Abbreviation	For Category of Return
104A	1040A
104E	1040EZ
104N	1040NR
AEXT	Additional Extension
BIRI	1040 Business Income and Receipts Tax
BPTI	1040 Initial Privilege Tax
BPTX	Initial Privilege Tax
C199	CA 199
C568	CA 568
CBT1	NJ CBT
CLOS	Closing Certificate
COMB	Combined
COMP	Composite
CONR	Composite-Non Resident
CONS	Consolidated
CTAC	CT-3-A/C
CTAX	Corporate Income Tax
DISE	Disregarded Entities
FBAR	Foreign Bank Account Report
FRAN	Franchise
FRPY	Franchise Prior Year
FSCL	Fiscal
INFO	Information Return
K108	KC MO RD108
K109	KC MO RD109
K18S	KC MO RD108 Spouse

Abbreviation	For Category of Return
K19S	KC MO RD109 Spouse
LLCP	LLC-LLP Payment
MA2G	MA Form 2G
N210	NYC 210
NJ10	NJ Part-100
NPTI	1040 Net Profits Tax
NPTX	Net Profits Tax
ORLS	OR LTD Self-Employment Spouse
ORLT	OR LTD Self-Employment
ORTM	OR TriMet Self-Employment
ORTS	OR TriMet Self-Employment Spouse
PASS	Pass-Through Entity
PPTI	1040 Business Privilege Tax
PPTX	Business Privilege Tax
PRIO	Prior Year
PROP	Property Tax
RCT1	1040 RCT-101
SITI	PHI PA 1040 School Income Tax
SPOU	Spouse Return
SPPY	Spouse Prior Year
SPV1	Spouse Voucher-Payment 1
SPV2	Spouse Voucher-Payment 2
SPV3	Spouse Voucher-Payment 3
SPV4	Spouse Voucher-Payment 4
T104	TX Franchise
T170	TN FAE170

Abbreviation	For Category of Return
T173	TN FAE173
T183	TN FAE183
T1PY	TX Prior Year
T1NY	TX Next Year Extension
TECH	Technical Termination
TXRP	Tax Report
VOU1	Voucher-Payment 1
VOU2	Voucher-Payment 2
VOU3	Voucher-Payment 3
VOU4	Voucher-Payment 4
VOUC	Voucher-Filing Fee
1127	NYC-1127
112S	NYC-1127 Spouse
2350	2350
9TEX	990-T Extension
9TAE	990-T Additional Extension
47EX	4720 Extension
47AE	4720 Additional Extension
8955	8955-SSA

Sample Abbreviations with Descriptions

Sample Abbreviation	Sample Description
REG	Regular type of return
AME	Amended type of return
REG LLCP	Regular type, LLC-LLP Payment category
AME COMP	Amended type, Composite category
REG ANDOVER	Regular type, for the City of Andover

Chapter 7

Common Questions

Non-receipt of IRS Acknowledgment

Question: I released a return for transmission to the IRS and transmitted it and have not received an acknowledgment. When can I expect to receive it?

Answer: Check the Electronic Filing Status System. If the return status is still showing the *Ready to Release* status, it did not get released or transmitted. It takes 24 to 48 hours to receive an acknowledgment from the IRS. If this answer does not fit your situation, call the Electronic Filing Support staff at 1-800-739-9998, option 3.

Reprocess Returns

Question: I reprocessed a rejected return and received a new Form 8453. I had already submitted the original form to the IRS. What do I do?

Answer: Do not mail Form 8453 for any tax system to the IRS unless you are certain that the return has been accepted for processing by the IRS.

If you have already mailed Form 8453 and have a rejected return, you must contact the IRS. In most cases you can write a letter explaining that you inadvertently sent the wrong form to the IRS. If you continue to submit Form 8453 on rejected returns, the IRS will probably contact you.

Become an Authorized e-File Provider

Question: How do I become an authorized e-file provider and obtain an Electronic Filing Identification Number (EFIN) for my firm?

Answer: Effective October 1, 2012, the IRS no longer accepts Form 8633, *Application to Participate in the IRS e-file Program*. You must submit the IRS e-File Application to become an IRS e-file provider. After the IRS approves the application, the IRS sends an acceptance letter, which includes the EFIN.

Go to the Become an Authorized e-file Provider IRS page to see the steps to submit the IRS e-File Application.

Note: In addition, modifications to existing account information must be completed using e-Services on the IRS website.

Validate and Use an Electronic Filing Identification Numbers (EFIN)

Question: I received my firm's EFIN. What do I do now?

Answer: You must first register the EFIN and the associated Tracking Number with Wolters Kluwer. After approximately 48 hours, Wolters Kluwer assigns a VCN to the EFIN. Your firm can then enter the EFIN and VCN numbers in the Electronic Filing sections for an office group in Office Manager, or in a return.

The following steps are required:

1. Obtain the EFIN and Tracking Number. Both the EFIN and Tracking Number are included in the e-file Application Summary on the IRS e-Services site.
2. Enter the EFIN and Tracking Number in EFIN Manager. Allow approximately 48 hours for the IRS to validate the EFIN, after which, a VCN is assigned.
3. Obtain the VCN from EFIN Manager.
4. Enter the EFIN and VCN in Office Manager > Electronic Filing Options or the Return Configuration Set > Electronic Filing Options.

Additional Information

- IRS EFIN FAQs
- *About the Vendor Control Number (VCN)* on page 94

Obtain the Firm's EFIN and Tracking Number

Question: I must enter the EFIN and associated Tracking Number for my firm in EFIN Manager. How do I obtain these numbers?

Answer: To electronically file returns, your firm must obtain the Electronic Filing Identification Number (EFIN) and, beginning with tax year 2017, the associated Tracking Number from the IRS e-Services site. Your firm must first submit your e-file Application to become an authorized IRS e-file provider.

After submitting the application and the IRS has approved your request, you will receive an acceptance letter from the IRS with your EFIN.

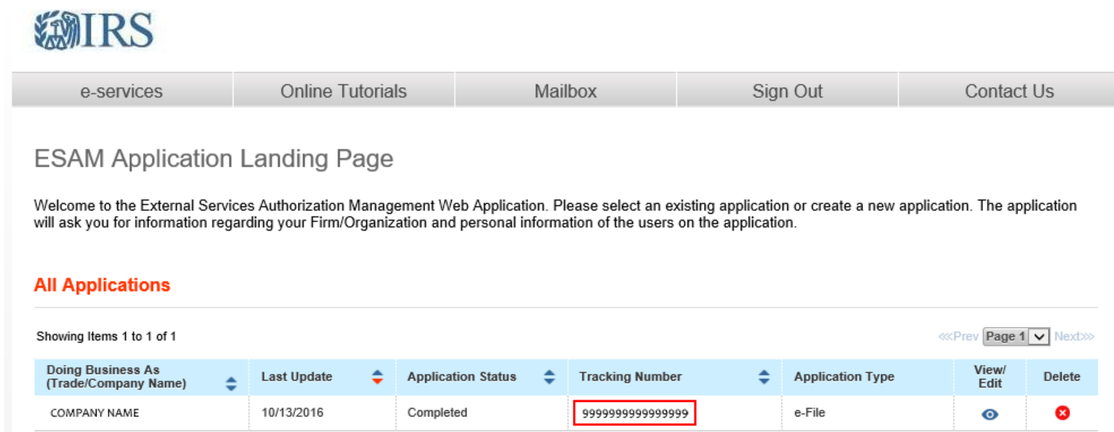
To view your approved e-file Application to view the EFIN and Tracking Number, do the following:

1. Go to https://www.irs.gov.
2. On the IRS homepage, click **Tax Pros** in the upper-right portion of the page.
3. Under e-Services, click **Access e-Services**.

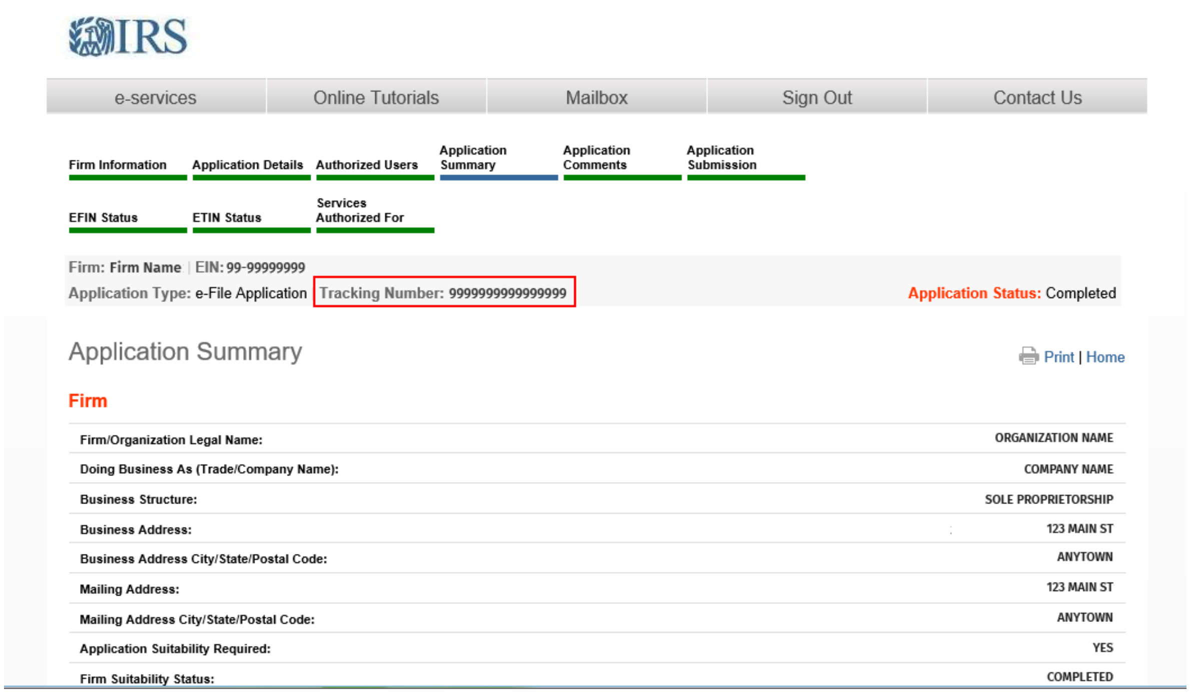
4. Under e-file Application, click **Go**.
5. Enter your username and password and click **Login** or click **Register** to create an account.

   Note: If you need help logging in, contact the e-help Desk at 1-866-255-0654.

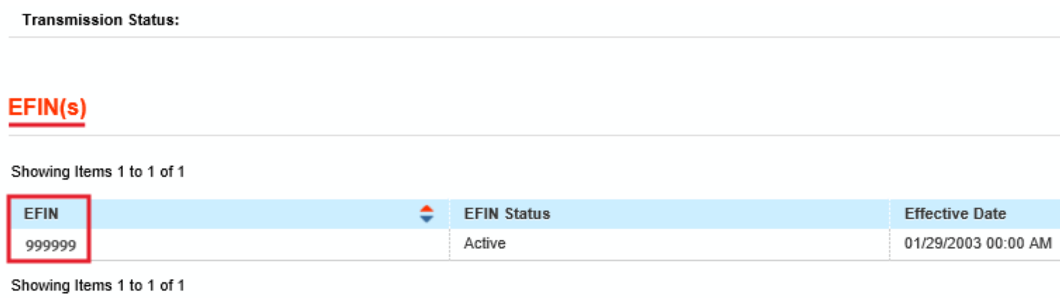
6. If you have multiple organizations that you represent, select the organization for the Application Summary you want to view. On the Application Landing page, the Tracking Number for the organization displays. Show me.



7. To open the summary, click **View/Edit**. The Tracking Number displays at the top of the page. Show me.



8. To locate the EFIN for the selected organization, scroll down the summary to the EFIN(s) section. Show me.



Additional Information

- Show me the video (go to the Knowledge Base and search for *How do I locate an EFIN and a Tracking Number*).
- See *Using EFIN Manager* on page 74 for information about registering your EFIN and Tracking Number with Wolters Kluwers.

About the Vendor Control Number (VCN)

Question: What is a Vendor Control Number (VCN)?

Answer: The VCN is a 12-digit number that is transmitted with returns of all tax systems except for Employee Benefit Plan. A VCN is associated with a specific Electronic Filing Identification Number (EFIN) to ensure that EFIN is not being used fraudulently by a preparer or firm. The VCN is generated by Wolters Kluwer and is sent to the IRS along with the associated EFIN. Each return except for 5500 filed with a specific EFIN must include the VCN associated with that EFIN.

To receive a VCN, your firm must first register the EFIN and the associated Tracking Number with Wolters Kluwer.

The following steps are required:

1. Obtain the EFIN and Tracking Number. Both the EFIN and Tracking Number are included in the e-file Application Summary on the IRS e-Services site.
2. Enter the EFIN and Tracking Number in EFIN Manager. Allow approximately 48 hours for the IRS to validate the EFIN, after which, a VCN is assigned.
3. Obtain the VCN from EFIN Manager.
4. Enter the EFIN and VCN in Office Manager > Electronic Filing Options or the Return Configuration Set > Electronic Filing Options.

About the Electronic Return Originator (ERO)

Question: Who is the Electronic Return Originator (ERO)?

Answer: The person or firm that collects the actual return from the taxpayer or firm for the purpose of electronically filing with the IRS is considered to be the ERO. Officially, the ERO is the person registered with the IRS as a person authorized to originate electronic return submissions for your firm.

Corrections to Returns Accepted by the IRS

Question: I have received an acknowledgment indicating my return has been accepted, but I have a correction to make to the return. Can I make the change with the IRS or DOL?

Answer: No. Once the return has been accepted by the IRS or DOL for processing, you cannot change the electronic return. You must file an amended return. Some amended returns cannot be electronically filed. See the IRS website or DOL website for complete information on which amended returns you can file.

If you are filing a Corporation or S Corporation return, you can also file a superseding return, which is a subsequent return filed within the filing period.

Note: The IRS recommends that you do not file the amended return until the taxpayer has received the refund; otherwise, it could slow the refund turnaround time.

Not a Fileable Copy

Question: I printed the paper copy of my return and Form 8879 (8879-PE, 8879-B, 8453-PE, 8453-B, 8453-F, 8879-F, 8879-C, 8879-S, 8879-EO) was included, but why does it have *This is not a Fileable Copy* across the form?

Answer: The form that you receive with the return is for your review only. When you select to export the return to the Electronic Filing Status System, the electronic version of the return is created and a fileable copy will print. This copy is the one you file with the IRS.

After creating the electronic version of the return, you can print the form pertinent to the type of return you are filing electronically using the Selective Pages print option and selecting Form 8879. If the return is recalculated, the non-fileable message reappears on Form 8879, 8879-PE, 8879-B, 8453-PE, 8453-B, 8453-F, 8879-F, 8879-C, 8879-S, and 8879-EO until the electronic return is again created.

Enable Electronic Filing for a Previously Processed Return

Question: I have processed a return and it is ready to file, except that I did not select electronic filing. How do I add electronic filing to a return that has already been processed?

Answer: To add electronic filing for a return, reprocess it with Interview Form EF-1 or the General > Electronic Filing worksheet, designating electronic filing for the return included.

Stop an Unintentional Transmission

Question: I unintentionally transmitted a return. What do I do?

Answer: If you unintentionally transmit a return, see Changing the Status of a Return or Deleting a Return for information on stopping a return. If the return has already been sent to the IRS or DOL, we must wait to see if the IRS or DOL accepts it. If it is accepted, there is nothing more we can do. At this point you may want to contact the IRS or DOL. If the return is rejected, it is not considered a filed return and can be resubmitted.

For more assistance, call the Electronic Filing Support staff at 1-800-739-9998, option 3.

Client Signature for Reprocessed Returns

Question: Some of my returns were rejected and I have to rerun them for corrections. When I reprocess, I will receive new authorization forms and a new Form 8879, 8879-C, 8879-S, 8879-PE, 8879-B, 8453-PE, 8453-B, or 8453-F. Does the taxpayer have to sign the new form?

Answer: Probably not. Since most rejected returns can be corrected with a nonsubstantive change, you can mail the original Form 8879 to the IRS. If the change to the return was substantial, according to IRS Publication rules, the taxpayer must sign a new form.

Rejection Received on the April Filing Deadline

Question: My Individual return was rejected on the April deadline. Is it considered a late filed return?

Answer: Individual returns transmitted and rejected on the April filing deadline have until midnight Central Time, 5 calendar days after the original due date to be accepted, meaning that you have five days to correct a rejected return and release it for retransmission to the IRS. If the return has not been accepted 5 calendar days after the original due date, you should file a paper return. Include a note to the IRS with the paper return explaining that the return was filed by the April filing deadline, but rejected.

Return Rejected Due to Invalid EFIN

Question: I have received my EFIN from the IRS for filing Individual, Partnership, Corporation, and S Corporation returns and have verified that it is the correct EFIN, but my returns are rejecting because of a missing or incorrect EFIN. Why is this happening?

Answer: If you received the acceptance letter with your EFIN indicating you have been approved and your returns are still rejecting with the *Missing or Incorrect EFIN, Correct and Resubmit* status code, you should:

- Verify that the correct EFIN was entered
- Verify the EFIN can be used to file the return type that was rejected.
- Contact the IRS before authorizing any more returns for transmission.

Note: The following rejection status codes also require action relating to the EFIN:

- **EFIN Disallowed for e-filing**. The EFIN utilized has not been provided to Wolters Kluwer, has been deleted, is marked inactive, or a VCN has not been created. See *Validate and Use an Electronic Filing Identification Numbers (EFIN)* on page 92 for more information.
- **EFIN Mismatch with VCN on File**. The EFIN utilized is missing, does not match the EFIN in EFIN Manager, or does not match the provided VCN. See *Using EFIN Manager* on page 74 for information about viewing your firm's EFINs and associated VCNs.