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CCH Axcess™
At the Center of the Firm in Motion

CCH Axcess™ Tax Electronic Filing

User Guide

January 2018

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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 Axcess™ 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 Axcess™ 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
- Enhanced status reports and support links
- 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.

Note: If you are using Microsoft® Internet Explorer® 10 or higher, add the following sites as trusted sites on your Internet options: https://tc.tcsso.cchgroup.com and https://efile.prosystemfx.com.

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 Axcess Tax, defaults are saved in the return configuration set. 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 to the Electronic Filing Status System.
- Add signer identification information to staff profile.
- Configure return configuration sets for electronic filing preferences.

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.

To assign staff electronic filing access, do the following:

1. Open Dashboard and **Security groups** under Security on the Application Links window to open Staff Manager.
2. Double-click an item in the grid to open a security group.
3. Click **Functional rights** on the navigation panel.
4. Click the **Tax** tab.
5. Expand **Tax Preparation**.
6. Grant the staff the functional right to *Tax returns*.

7. Grant the staff the functional right to *EFS status - Upload and hold return for release*, *EFS status - Upload and release return to taxing authority*, or both.
8. Expand **Electronic Filing**.
9. Select the applicable Electronic Filing Status System access for the staff. You can grant the functional right for the following Electronic Filing Status System permissions:
   - Access Electronic Filing Status
   - Access Electronic Filing Status > Exported returns
   - Release returns to taxing authority
   - Delete returns and change status of returns to paper filed
   - Stop returns from being transmitted
10. Click **Assigned staff** on the navigation panel.
11. Verify the correct staff are either selected to be included or meet the organizational unit and position attributes that are selected at the top of the window.
12. Do one of the following:
    - Click **Save** to save your changes and keep the window open for editing.
    - Click **Save & Close** to save your changes and close the Security Group Profile window.
    - Click **Cancel** to abandon your changes.

For more information, click the Help links at the top of the Security Group Profile window.

Note: Returns associated with secured clients (clients that a client access group restricts you to view) do not display.

Managing Signer and Return Configuration Set Electronic Filing Settings

Staff Profiles

In CCH Axcess Tax, signer identification information, including the electronic filing PIN number, is entered in the staff profile. Do the following to access signer options:

1. Open Dashboard, click **Application Links** on the navigation panel, and then click **Staff Manager** under Staff.
2. Open an existing or create a new staff profile.
3. Click **Tax** > **Signer** on the navigation panel and enter the preparer's Electronic Return Originator (ERO) PIN.

Return Configuration Sets

Return configuration sets include options to save defaults for Tax electronic filing options. Your firm can assign a return configuration set as the default for an organizational unit using Firm > Tax > Return Defaults. Open Dashboard, click **Application Links** on the navigation panel, and click **Settings and defaults** under Firm to display the firm settings options.

To access electronic filing options in a return configuration set, do the following:

1. In Dashboard, click **Application Links** on the navigation panel, and then click **Configure > Return configuration sets** under Tax.
2. Double-click a return configuration set on the navigation panel.
3. Click the following on the navigation panel:
   - **Electronic Filing Options**. Displays electronic filing options that apply to all return types, such as Electronic Return Originator (ERO) and Electronic Filing Identification Number (EFIN) information.
   - **Electronic Filing Options > <return type>**. Displays electronic filing options that are specific to each of the following return types:
     - Individual
     - Partnership
     - Corporation
     - S Corporation
     - Fiduciary
     - Employee Benefit Plan
     - Exempt Organization

Note: You can override Return configuration set values in a tax return. See *Chapter 3 - Preparing a Return or Extension Form for Electronic Filing* on page 35 to view the tax return locations.

Configuring Return Configuration Set General Electronic Filing Options

Tax allows you to reduce data entry time by configuring default electronic filing settings for Individual, Partnership, Corporation, S Corporation, Fiduciary, Exempt Organization, and Employee Benefit Plan returns in a return configuration set. You can override electronic filing options in the return configuration set using the General > Electronic Filing worksheet.

To set default electronic filing options, do the following:

1. Open Dashboard, click **Application Links** on the navigation panel, and then click **Configuration > Return configuration sets** under Tax.
2. Double-click a return configuration set on the navigation panel.
3. Click **Electronic Filing Options** > **General** on the navigation panel.
4. Enter information for default electronic filing options in the various areas.

<table>
<tr><th>Component</th><th>Description</th></tr>
<tr><th colspan="2">Electronic Filing Identification Number (EFIN)</th></tr>
<tr><td>EFIN</td><td>Enter the Electronic Filing Identification Number (EFIN) registered by the IRS for electronically filing Individual, Partnership, Corporation, S Corporation, and Fiduciary returns.
Notes:
▪ If Use signer location for signature block is selected on the return configuration set Signature Block window, the EFIN from Tax Lists > Signer Locations is applied to the return.
▪ To view EFIN information for your firm's accounts, do the following:
i. In EFS, if the grid in the active tab is filtered to display All offices, first select a specific office on the Filter/Search panel.
ii. Select Admin > EFIN Manager from the toolbar.</td></tr>
<tr><td>Vendor control number</td><td>Enter the 12-digit Vendor Control Number (VCN) that is assigned for electronically filing Individual returns. The VCN must be associated with the EFIN number entered above.
Notes:
▪ This option applies to tax years 2016 and higher.
▪ If Use signer location for signature block is selected on the return configuration set Signature Block window, the vendor control number from Tax Lists > Signer Locations is applied to the return.
▪ The EFIN and VCN must both be entered in the same location (both in the return configuration set or both in the return). If only one is entered in the return configuration set and one in the return, disqualifying diagnostics may be issued.
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</td></tr>
</table>

Component	Description
	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)	Select to randomly generate the taxpayer and spouse PIN.
Electronic filing options	
Do not update electronic filing status in return	Select to not update the government form Electronic Filing Status Report and the electronic filing export window with the latest electronic filing status sent from the Electronic Filing Status System.
Print and correspondence options	
Print the entire government copy, rather than just forms that were not included in the electronic file	Select to include forms that are electronically filed as well as paper filed forms.
Suppress printing of all forms during export	Excludes forms and payment vouchers with printed government copies when electronic files are created.
Do not print nonfileable message on signature forms	Excludes the non-fileable message, *This is not a Fileable Copy*, when printing signature forms.
Suppress printing of extension letters during export	Excludes extension letters when electronically filing extension forms.
Due date of electronic filing form code	Select how to process due dates in electronic filing paragraphs.
Electronic Return Originator (ERO) information	

ERO information	▪ Enter the following information:
	  ◦ ERO contact name
	  ◦ Preparer email address
	  ◦ ERO PIN
	▪ Select **Randomly generate the ERO PIN** to allow the system to randomly assign the ERO PIN for Individual and Fiduciary returns.
	▪ For tax years 2015 and higher, select one of the

Component	Description
	following **ERO signature options for Form 8879**: ◦ Suppress printing ◦ Print ERO firm name ◦ Print ERO preparer (1040 only) ◦ Print ERO preparer (All systems) **Notes**: ◦ The *Print signer signature* option on the return configuration set Signature Block window must also be selected. ◦ Be aware that the IRS does not consider a computer signature as a valid signature.
Electronic Return Originator (ERO) overrides	
ERO override information	Select to replace signature block information with ERO overrides. If you select this box, enter the following information: ▪ ERO name ▪ ERO address ▪ ERO city ▪ State ▪ ERO Zip code ▪ Country ▪ ERO EIN ▪ ERO SSN ▪ Alternate ERO ID no. (PTIN) ▪ ERO telephone number
Self-employed	Select to override self-employed information on the signature block.

5. Click **Save** to save your changes and continue working in the return configuration set, or click **Save and Close** to save your changes and close the return configuration set.

Configuring Return Configuration Set 1040/Individual Electronic Filing Options

The 1040/Individual window in the return configuration set displays electronic filing configuration options that apply to all Individual returns. You can override electronic filing options in the return configuration set using the General > Electronic Filing worksheet.

To configure 1040/Individual electronic filing options, do the following:

1. Open Dashboard, click **Application Links** on the navigation panel, and then click **Configuration > Return configuration sets** under Tax.
2. Double-click a return configuration set on the navigation panel.
3. Click **Electronic Filing Options** > **1040/Individual** on the navigation panel.
4. Enter information for 1040/Individual filing options.

Component	Description
What to file electronically	
Electronically file federal return and enable electronic filing for selected return types	Enable federal returns for electronic filing and the following return units: ▪ Select **Extensions** to enable extensions for electronic filing. ▪ Select **All state returns** to file all states in the return electronically. ▪ Select **All city returns** to file cities in the return electronically. ▪ Select **Other returns** to electronically file the following returns: ◦ 1040 LLC and property tax ◦ 1041 New York 204LL and Wisconsin PW-1 ◦ 1120 Alabama CPT and New York 204LL ◦ 1120S Alabama CPT, New York 204LL, and Wisconsin PW1 ◦ 1065 Alabama PPT, New York 204LL, Pennsylvania RCT-101I, and Wisconsin PW1 ▪ Select **Estimated tax payments** to file estimated tax payments electronically. This option applies to tax years 2015 and higher. ▪ Select **Federal elections with signatures required** to include federal elections requiring signatures with Individual electronic files.
Printing upon export	
Suppress printing of the taxpayer signature dates	Select to suppress printing of the taxpayer signature dates.
Always produce 8879-SO during export	Select to prepare Form 8879-SO, State-only e-file Signature Authorization, when exporting electronic files.
eSign options	
Electronically sign	Select to electronically file authorization forms with a digital

Component	Description
authorization form(s)	signature for federal and qualifying states. When enabled, this option also includes information in the transmittal letter and filing instructions that a return has been sent for eSign. **Note**: This option does not apply to amended or IT-204LL (New York) returns, to extensions, or to filing Report of Foreign Bank and Financial Accounts (FBAR).
Enable eSign if state returns do not qualify	Select to electronically file Form 8879 with a digital signature for federal and qualifying states when a state that does not qualify for eSign exists in the return.
e-file paragraph in letters and filing instructions	
Transmittal/filing instructions paragraph	Select how to print the transmittal letter and filing instruction paragraph for returns filed electronically. Select one of the following: • Not applicable • Standard • Alternate • Suppress • No further action • No further action - return Form 8879
Electronic filing notifications	
Notes: • Email notifications are free of charge. • Postcard notifications are priced according to the latest Pricing Catalog for each taxing authority in the return. • Email notifications for Individual clients will contain more information from Form 9325, such as how to check on the status of the refund. Therefore, your clients will have fewer questions for you concerning their electronically filed returns. • Email 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	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 **Notes**:

Component	Description
	• 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. • Notifications are not sent for MI or OH city returns or extensions acceptance.
Electronic filing notification to signer option	Select one of the following for signers to receive notifications when returns or extensions are accepted by a taxing authority: • Notify all signers by email • Notify all signers by postcard • Send no notification to signer **Note**: Notifications are not sent for MI or OH city returns or extensions acceptance.
Electronic filing rejection notification to signer option	Select one of the following for signers to receive notifications when returns or extension are rejected by a taxing authority: • Send no notifications • Send e-mail to signer • Send e-mail to alternate signer e-mail address • Send e-mail to both signer and alternate
Electronic filing stopped notification to signer option	Select one of the following for signers to receive notifications when returns or extension are stopped by the Tax system: • Send no notifications • Send e-mail to signer • Send e-mail to alternate signer e-mail address • Send e-mail to both signer and alternate **Note**: This option applies to tax years 2017 and higher.
Send notification to signer when 8879 has not been received	Select for signers to receive notifications when taxpayer signatures have not been received on Form 8879 within a designated time period. A notification is sent when a date has not been entered in the Electronic Filing Status System *Signature Form - Received* column within the designated time period. The notification is sent to the signer's email address or, if entered, to the signer's alternate email address. Select the check box, and then accept the default number of days, or enter a different number.
Notification options	
Send e-mail notification to e-mail address below in lieu	If you selected to notify signers by email (the *electronic filing* option or the *8879 has not been received* option), you can enter an alternate email address to receive notifications in lieu of the signer's

Component	Description
of signer	email address. **Important**: If you select to send email notifications to an alternate address, you must enter the email address; otherwise, notifications are not sent.
Select the type of notification to be received	If you selected to send electronic filing notifications to clients or signers, by default, Return is selected. You can change your selection from the following options: ▪ Return ▪ Extensions
Select the taxing authority you want to receive notifications for	If you selected to send electronic filing notifications to clients or signers, by default, Federal is selected. You can change your selection from the following options: ▪ Federal ▪ State/Cities ▪ FBAR **Note**: The FBAR option applies to returns filed to report foreign bank and financial account information.

5. Click **Save** to save your changes and continue working in the return configuration set, or click **Save and Close** to save your changes and close the return configuration set.

Configuring Return Configuration Set 1065/Partnership Electronic Filing Options

The 1065/Partnership window in the return configuration set displays electronic filing configuration options that apply to all Partnership returns. You can override electronic filing options in the return configuration set using the General > Electronic Filing worksheet, unless noted differently in the component explanations under step 4.

To configure 1065/Partnership electronic filing options, do the following:

1. Open Dashboard, click **Application Links** on the navigation panel, and then click **Configuration > Return configuration sets** under Tax.
2. Double-click a return configuration set on the navigation panel.
3. Click **Electronic Filing Options** > **1065/Partnership** on the navigation panel.
4. Enter information for 1065/Partnership filing options in the various areas.

Component	Description
What to file electronically	
Electronically file federal return and enable electronic filing for selected	Enable federal returns for electronic filing and the following return units: ▪ Select **Extensions** to enable extensions for electronic filing.

Component	Description
return types	■ Select **All state returns** to file all states in the return electronically. ■ Select **All city returns** to file cities in the return electronically. ■ Select **Other returns** to electronically file the following returns: ◦ 1040 LLC and property tax ◦ 1041 New York 204LL and Wisconsin PW-1 ◦ 1120 Alabama CPT and New York 204LL ◦ 1120S Alabama CPT, New York 204LL, and Wisconsin PW1 ◦ 1065 Alabama PPT, New York 204LL, Pennsylvania RCT-101I, and Wisconsin PW1 ■ Select **Composite returns** to file the following composite returns electronically: ◦ 1120S Alabama Composite, Massachusetts Composite, and Wisconsin 1CNS ◦ 1065 Alabama Composite, Massachusetts Composite, Mississippi Composite, and Wisconsin 1CNS ■ Select **Estimated tax payments** to include estimated tax payments with electronic files. This option applies to tax years 2016 and higher. ■ Select **Federal elections with signatures required** to include federal elections requiring signatures with Individual electronic files. This option applies to tax years 2015 and higher.
Printing upon export	
Always produce 8879-SO during export	Select to include Form 8879-SO with electronic files. **Note**: This option applies to tax years 2016 and higher.
e-file paragraph in letters and filing instructions	
Transmittal/filing instructions paragraph	Select one of the following: ■ Notify all clients by email (default) ■ Notify all clients by postcard ■ Notify all clients by postcard only if the email address has not been input ■ Send no notification to tax clients
Other options	
Create New Jersey	Select to create Partnership NJ-1080-C diskette files. Partnership

<table>
<tr><th>Component</th><th>Description</th></tr>
<tr><td>NJ-1080-C diskette file</td><td>Diskette Filing is applicable only to returns for which the Federal Partnership return is being electronically filed.
You can override this option on a per return basis using the Federal > General > Electronic Filing > Section 4 worksheet.</td></tr>
<tr><td>Create AR 1000CR magnetic file</td><td>Select to create the Arkansas partnership information (AR 1000CR) magnetic media export file.
You can override this option on a per return basis using the Federal > General > Electronic Filing > Section 4 worksheet.</td></tr>
<tr><td colspan="2">Electronic filing notifications</td></tr>
<tr><td colspan="2">Notes:
Email notifications are free of charge.
Postcard notifications are priced according to the latest Pricing Catalog for each taxing authority in the return.
Email 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.</td></tr>
<tr><td>Electronic filing notification to client option</td><td>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
Notes:
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.
Notifications are not sent for MI or OH city returns or extensions acceptance.</td></tr>
<tr><td>Electronic filing notification to signer option</td><td>Select one of the following for signers to receive notifications when returns or extensions are accepted by a taxing authority:
Notify all signers by email
Notify all signers by postcard
Send no notification to signer
Notes:
Notifications are not sent for MI or OH city returns or extensions acceptance.</td></tr>
</table>

Component	Description
Electronic filing rejection notification to signer option	Select one of the following for signers to receive notifications when returns or extension are rejected by a taxing authority: ▪ Send no notifications ▪ Send e-mail to signer ▪ Send e-mail to alternate signer e-mail address ▪ Send e-mail to both signer and alternate
Electronic filing stopped notification to signer option	Select one of the following for signers to receive notifications when returns or extension are stopped by the Tax system: ▪ Send no notifications ▪ Send e-mail to signer ▪ Send e-mail to alternate signer e-mail address ▪ Send e-mail to both signer and alternate Note: This option applies to tax years 2017 and higher.
Send notification to signer when 8879 has not been received	Select for signers to receive notifications when taxpayer signatures have not been received on Form 8879 within a designated time period. A notification is sent when a date has not been entered in the Electronic Filing Status System *Signature Form - Received* column within the designated time period. The notification is sent to the signer's email address or, if entered, to the signer's alternate email address. Select the check box, and then accept the default number of days, or enter a different number.
Notification options	
Send e-mail notification to e-mail address below in lieu of signer	If you selected to notify signers by email (the *electronic filing* option or the *8879 has not been received* option), you can enter an alternate email address to receive notifications in lieu of the signer's email address. Important: If you select to send email notifications to an alternate address, you must enter the email address; otherwise, notifications are not sent.
Select the type of notification to be received	If you selected to send electronic filing notifications to clients or signers, by default, Return is selected. You can change your selection from the following options: ▪ Return ▪ Extensions
Select the taxing authority you want to receive notifications for	If you selected to send electronic filing notifications to clients or signers, by default, Federal is selected. You can change your selection from the following options: ▪ Federal

Component	Description
	▪ State/Cities ▪ FBAR **Note**: The FBAR option applies to returns filed to report foreign bank and financial account information.

5. Click **Save** to save your changes and continue working in the return configuration set, or click **Save and Close** to save your changes and close the return configuration set.

Configuring Return Configuration Set 1120/Corporation Electronic Filing Options

The 1120/Corporation window in the return configuration set displays electronic filing configuration options that apply to all Corporation returns. You can override electronic filing options in the return configuration set using the General > Electronic Filing worksheet.

To configure 1120/Corporation electronic filing options, do the following:

1. Open Dashboard, click **Application Links** on the navigation panel, and then click **Configuration > Return configuration sets** under Tax.
2. Double-click a return configuration set on the navigation panel.
3. Click **Electronic Filing Options** > **1120/Corporation** on the navigation panel.
4. Enter information for 1120/Corporation filing options in the various areas.

Component	Description
What to file electronically	

Electronically file federal return and enable electronic filing for selected return types	Enable federal returns for electronic filing and the following return units:
	▪ Select **Extensions** to enable extensions for electronic filing.
	▪ Select **All state returns** to file all states in the return electronically.
	▪ Select **All city returns** to file cities in the return electronically.
	▪ Select **Other returns** to electronically file the following returns:
	    ◦ 1040 LLC and property tax
	    ◦ 1041 New York 204LL and Wisconsin PW-1
	    ◦ 1120 Alabama CPT and New York 204LL
	    ◦ 1120S Alabama CPT, New York 204LL, and Wisconsin PW1
	    ◦ 1065 Alabama PPT, New York 204LL, Pennsylvania RCT-101I, and Wisconsin PW1
	▪ Select **Estimated tax payments** to file estimated tax

Component	Description
	payments electronically. This option applies to tax years 2015 and higher. ■ Select **Federal elections with signatures required** to include federal elections requiring signatures with Individual electronic files.
Printing upon export	
Always produce 8879-SO during export	Select to include Form 8879-SO with electronic files. Note: This option applies to tax years 2016 and higher.
e-file paragraph in letters and filing instructions	
Transmittal/filing instructions paragraphs	Select how to print the transmittal letter and filing instruction paragraph for returns filed electronically. Select one of the following: ■ Not applicable ■ Standard ■ Alternate ■ Suppress ■ No further action ■ No further action - return Form 8879-C
Electronic filing notifications	
Notes: ■ Email notifications are free of charge. ■ Postcard notifications are priced according to the latest Pricing Catalog for each taxing authority in the return. ■ Email 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	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 Notes: ■ 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.

Component	Description
	▪ Notifications are not sent for MI or OH city returns or extensions acceptance.
Electronic filing notification to signer option	Select one of the following for signers to receive notifications when returns or extensions are accepted by a taxing authority: ▪ Notify all signers by email ▪ Notify all signers by postcard ▪ Send no notification to signer Note: Notifications are not sent for MI or OH city returns or extensions acceptance.
Electronic filing rejection notification to signer option	Select one of the following for signers to receive notifications when returns or extension are rejected by a taxing authority: ▪ Send no notifications ▪ Send e-mail to signer ▪ Send e-mail to alternate signer e-mail address ▪ Send e-mail to both signer and alternate
Electronic filing stopped notification to signer option	Select one of the following for signers to receive notifications when returns or extensions are stopped by the Tax system: ▪ Send no notifications ▪ Send e-mail to signer ▪ Send e-mail to alternate signer e-mail address ▪ Send e-mail to both signer and alternate Note: This option applies to tax years 2017 and higher.
Send notification to signer when 8879 has not been received	Select for signers to receive notifications when taxpayer signatures have not been received on Form 8879 within a designated time period. A notification is sent when a date has not been entered in the Electronic Filing Status System *Signature Form - Received* column within the designated time period. The notification is sent to the signer's email address or, if entered, to the signer's alternate email address. Select the check box, and then accept the default number of days, or enter a different number.
Notification options	
Send e-mail notification to e-mail address below in lieu of signer	If you selected to notify signers by email (the *electronic filing* option or the *8879 has not been received* option), you can enter an alternate email address to receive notifications in lieu of the signer's email address. Important: If you select to send email notifications to an alternate address, you must enter the email address; otherwise, notifications are not sent.

Component	Description
Select the type of notification to be received	If you selected to send electronic filing notifications to clients or signers, by default, Return is selected. You can change your selection from the following options: ▪ Return ▪ Extensions
Select the taxing authority you want to receive notifications for	If you selected to send electronic filing notifications to clients or signers, by default, Federal is selected. You can change your selection from the following options: ▪ Federal ▪ State/Cities ▪ FBAR **Note**: The FBAR option applies to returns filed to report foreign bank and financial account information.

5. Click **Save** to save your changes and continue working in the return configuration set, or click **Save and Close** to save your changes and close the return configuration set.

Configuring Return Configuration Set 1120S/S Corporation Electronic Filing Options

The 1120S/S Corporation window in the return configuration set displays electronic filing configuration options that apply to all S Corporation returns. You can override electronic filing options in the return configuration set using the General > Electronic Filing worksheet.

To configure 1120S/S Corporation electronic filing options, do the following:

1. Open Dashboard, click **Application Links** on the navigation panel, and then click **Configuration > Return configuration sets** under Tax.
2. Double-click a return configuration set on the navigation panel.
3. Click **Electronic Filing Options** > **1120S/S Corporation** on the navigation panel.
4. Enter information for 1120S/S Corporation filing options in the various areas.

Component	Description
What to file electronically	
Electronically file federal return and enable electronic filing for selected return types	Enable federal returns for electronic filing and the following return units: ▪ Select **Extensions** to enable extensions for electronic filing. ▪ Select **All state returns** to file all states in the return electronically. ▪ Select **All city returns** to file cities in the return electronically. ▪ Select **Other returns** to electronically file the following returns:

Component	Description
	◦ 1040 LLC and property tax ◦ 1041 New York 204LL and Wisconsin PW-1 ◦ 1120 Alabama CPT and New York 204LL ◦ 1120S Alabama CPT, New York 204LL, and Wisconsin PW1 ◦ 1065 Alabama PPT, New York 204LL, Pennsylvania RCT-101I, and Wisconsin PW1 This option applies to tax years 2013 and higher. ▪ Select **Composite returns** to file the following composite returns electronically: ◦ 1120S Alabama Composite, Massachusetts Composite, and Wisconsin 1CNS ◦ 1065 Alabama Composite, Massachusetts Composite, Mississippi Composite, and Wisconsin 1CNS ▪ Select **Estimated tax payments** to file estimated tax payments electronically. This option applies to tax years 2015 and higher. ▪ Select **Federal elections with signatures required** to include federal elections requiring signatures with Individual electronic files.
Printing upon export	
Always produce 8879-SO during export	Select to include Form 8879-SO with electronic files. **Note**: This option applies to tax years 2016 and higher.
e-file paragraph in letters and filing instructions	
Transmittal/filing instructions paragraphs	Select how to print the transmittal letter and filing instruction paragraph for returns filed electronically. Select one of the following: ▪ Not applicable ▪ Standard ▪ Alternate ▪ Suppress ▪ No further action ▪ No further action - return Form 8879-S
Other options	
Create New Jersey NJ-1080-C diskette file	Select to create NJ-1080-C diskette files. S Corporate Diskette Filing is applicable only to returns for which the Federal return is being electronically filed. You can override this option on a per return basis using the Federal >

Component	Description
	General > Electronic Filing > Section 4 worksheet.
Create AR 1000CR magnetic file	Select to create the Arkansas (AR 1000CR) magnetic media export file. You can override this option on a per return basis using the Federal > General > Electronic Filing > Section 4 worksheet.
Electronic filing notifications	
Notes: • Email notifications are free of charge. • Postcard notifications are priced according to the latest Pricing Catalog for each taxing authority in the return. • Email 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	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 Notes: • 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. • Notifications are not sent for MI or OH city returns or extensions acceptance.
Electronic filing notification to signer option	Select one of the following for signers to receive notifications when returns or extensions are accepted by a taxing authority: • Notify all signers by email • Notify all signers by postcard • Send no notification to signer Note: Notifications are not sent for MI or OH city returns or extensions acceptance.
Electronic filing rejection notification to signer option	Select one of the following for signers to receive notifications when returns or extension are rejected by a taxing authority: • Send no notifications • Send e-mail to signer • Send e-mail to alternate signer e-mail address

Component	Description
	▪ Send e-mail to both signer and alternate
Electronic filing stopped notification to signer option	Select one of the following for signers to receive notifications when returns or extension are stopped by the Tax system: ▪ Send no notifications ▪ Send e-mail to signer ▪ Send e-mail to alternate signer e-mail address ▪ Send e-mail to both signer and alternate Note: This option applies to tax years 2017 and higher.
Send notification to signer when 8879 has not been received	Select for signers to receive notifications when taxpayer signatures have not been received on Form 8879 within a designated time period. A notification is sent when a date has not been entered in the Electronic Filing Status System *Signature Form - Received* column within the designated time period. The notification is sent to the signer's email address or, if entered, to the signer's alternate email address. Select the check box, and then accept the default number of days, or enter a different number.
Notification options	
Send e-mail notification to e-mail address below in lieu of signer	If you selected to notify signers by email (the *electronic filing* option or the *8879 has not been received* option), you can enter an alternate email address to receive notifications in lieu of the signer's email address. Important: If you select to send email notifications to an alternate address, you must enter the email address; otherwise, notifications are not sent.
Select the type of notification to be received	If you selected to send electronic filing notifications to clients or signers, by default, Return is selected. You can change your selection from the following options: ▪ Return ▪ Extensions
Select the taxing authority you want to receive notifications for	If you selected to send electronic filing notifications to clients or signers, by default, Federal is selected. You can change your selection from the following options: ▪ Federal ▪ State/Cities ▪ FBAR Note: The FBAR option applies to returns filed to report foreign bank and financial account information.

5. Click **Save** to save your changes and continue working in the return configuration set, or click **Save and Close** to save your changes and close the return configuration set.

Configuring Return Configuration Set 1041/Fiduciary Electronic Filing Options

The 1041/Fiduciary window in the return configuration set displays electronic filing configuration options that apply to Fiduciary returns. You can override electronic filing options in the return configuration set using the General > Electronic Filing worksheet.

To configure 1041/Fiduciary electronic filing options, do the following:

1. Open Dashboard, click **Application Links** on the navigation panel, and then click **Configuration > Return configuration sets** under Tax.
2. Double-click a return configuration set on the navigation panel.
3. Click **Electronic Filing Options** > **1041/Fiduciary** on the navigation panel.
4. Enter information for 1041/Fiduciary filing options in the various areas

Component	Description
What to electronically file	
Electronically file federal return and enable electronic filing for selected return types	Enable federal returns for electronic filing and the following return units: ▪ Select **Extensions** to enable extensions for electronic filing. ▪ Select **All state returns** to file all states in the return electronically. ▪ Select **All city returns** to file cities in the return electronically. ▪ Select **Other returns** to electronically file the following returns: 　◦ 1040 LLC and property tax 　◦ 1041 New York 204LL and Wisconsin PW-1 　◦ 1120 Alabama CPT and New York 204LL 　◦ 1120S Alabama CPT, New York 204LL, and Wisconsin PW1 　◦ 1065 Alabama PPT, New York 204LL, Pennsylvania RCT-101I, and Wisconsin PW1 ▪ Select **Estimated tax payments** to include estimated tax payments with electronic files. This option applies to tax years 2016 and higher. ▪ Select **Federal elections with signatures required** to include federal elections requiring signatures with Individual electronic files.
Printing upon export	
Always produce 8879-SO during	Select to include Form 8879-SO with electronic files. **Note**: This option applies to tax years 2016 and higher.

<table>
<tr><th>Component</th><th>Description</th></tr>
<tr><td colspan="2">export</td></tr>
<tr><td colspan="2">e-file paragraph in letters and filing instructions</td></tr>
<tr><td>Transmittal/filing instructions paragraph</td><td>Select how to print the transmittal letter and filing instruction paragraph for returns filed electronically. Select one of the following:
Not applicable
Standard
Alternate
Suppress
No further action
No further action - send Form 8879-F</td></tr>
<tr><td colspan="2">Electronic filing notifications</td></tr>
<tr><td colspan="2">Notes:
Email notifications are free of charge.
Postcard notifications are priced according to the latest Pricing Catalog for each taxing authority in the return.
Email 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.</td></tr>
<tr><td>Electronic filing notification to client option</td><td>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
Notes:
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.
Notifications are not sent for MI or OH city returns or extensions acceptance.</td></tr>
<tr><td>Electronic filing notification to signer option</td><td>Select one of the following for signers to receive notifications when returns or extensions are accepted by a taxing authority:
Notify all signers by email
Notify all signers by postcard
Send no notification to signer
Note: Notifications are not sent for MI or OH city returns or extensions</td></tr>
</table>

Component	Description
	acceptance.
Electronic filing rejection notification to signer option	Select one of the following for signers to receive notifications when returns or extension are rejected by a taxing authority: ▪ Send no notifications ▪ Send e-mail to signer ▪ Send e-mail to alternate signer e-mail address ▪ Send e-mail to both signer and alternate
Electronic filing stopped notification to signer option	Select one of the following for signers to receive notifications when returns or extension are stopped by the Tax system: ▪ Send no notifications ▪ Send e-mail to signer ▪ Send e-mail to alternate signer e-mail address ▪ Send e-mail to both signer and alternate Note: This option applies to tax years 2017 and higher.
Send notification to signer when 8879 has not been received	Select for signers to receive notifications when taxpayer signatures have not been received on Form 8879 within a designated time period. A notification is sent when a date has not been entered in the Electronic Filing Status System *Signature Form - Received* column within the designated time period. The notification is sent to the signer's email address or, if entered, to the signer's alternate email address. Select the check box, and then accept the default number of days, or enter a different number.
Notification options	
Send e-mail notification to e-mail address below in lieu of signer	If you selected to notify signers by email (the *electronic filing* option or the *8879 has not been received* option), you can enter an alternate email address to receive notifications in lieu of the signer's email address. Important: If you select to send email notifications to an alternate address, you must enter the email address; otherwise, notifications are not sent.
Select the type of notification to be received	If you selected to send electronic filing notifications to clients or signers, by default, Return is selected. You can change your selection from the following options: ▪ Return ▪ Extensions
Select the taxing authority you want	If you selected to send electronic filing notifications to clients or signers, by default, Federal is selected. You can change your selection from the following options:

Component	Description
to receive notifications for	- Federal - State/Cities - FBAR **Note**: The FBAR option applies to returns filed to report foreign bank and financial account information.

5. Click **Save** to save your changes and continue working in the return configuration set, or click **Save and Close** to save your changes and close the return configuration set.

Configuring Return Configuration Set 5500/Employee Benefit Plan Electronic Filing Options

The 5500/Employee Benefit Plan window in the return configuration set displays electronic filing configuration options that apply to all Employee Benefit Plan returns. You can override electronic filing options in the return configuration set using the General > Electronic Filing worksheet.

To configure 5500/Employee Benefit Plan electronic filing options, do the following:

1. Open Dashboard, click **Application Links** on the navigation panel, and then click **Configuration > Return configuration sets** under Tax.
2. Double-click a return configuration set on the navigation panel.
3. Click **Electronic Filing Options** > **5500/Employee Benefit Plan** on the navigation panel.
4. Enter information for 5500/Employee Benefit Plan filing options in the various areas.

Component	Description
e-file paragraph in letters and filing instructions	
Transmittal/filing instructions paragraph	Select how to print the transmittal letter and filing instruction paragraph for returns filed electronically. Select one of the following: - Not applicable - Standard - Alternate - Suppress - No further action
Electronic filing options	
Notes: - Email notifications are free of charge. - Postcard notifications are priced according to the latest Pricing Catalog for each taxing authority in the return. - Email 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.	

Component	Description
Electronic filing notification to client option	Select one of the following for clients to receive notifications when returns 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 Notes: - 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. - Notifications are not sent for MI or OH city returns acceptance.
Electronic filing notification to signer option	Select one of the following for signers to receive notifications when returns are accepted by a taxing authority: - Notify all signers by email - Notify all signers by postcard - Send no notification to signer Note: Notifications are not sent for MI or OH city returns acceptance.
Electronic filing rejection notification to signer option	Select one of the following for signers to receive notifications when returns are rejected by a taxing authority: - Send no notifications - Send e-mail to signer - Send e-mail to alternate signer e-mail address - Send e-mail to both signer and alternate
Electronic filing stopped notification to signer option	Select one of the following for signers to receive notifications when returns are stopped by the Tax system: - Send no notifications - Send e-mail to signer - Send e-mail to alternate signer e-mail address - Send e-mail to both signer and alternate Note: This option applies to tax years 2017 and higher.
Notification options	
Send e-mail notification to e-mail address below in lieu of signer	If you selected to notify all signers by email, you can enter an alternate email address to receive notifications in lieu of the signer's email address.

Component	Description
	Important: If you select to send email notifications to an alternate address, you must enter the email address; otherwise, notifications are not sent.
Select the type of notification to be received	If you selected to send electronic filing notifications to clients or signers, select to send notifications for returns.
Select the taxing authority you want to receive notifications for	If you selected to send electronic filing notifications to clients or signers, select to send notifications for the Federal taxing authority.

5. Click **Save** to save your changes and continue working in the return configuration set, or click **Save and Close** to save your changes and close the return configuration set.

Configuring Return Configuration Set 990/Exempt Electronic Filing Options

The 990/Exempt window in the return configuration set displays electronic filing configuration options that apply to all Exempt returns. You can override electronic filing options in the return configuration set using the General > Electronic Filing worksheet.

To configure 990/Exempt electronic filing options, do the following:

1. Open Dashboard, click **Application Links** on the navigation panel, and then click **Configuration > Return configuration sets** under Tax.
2. Double-click a return configuration set on the navigation panel.
3. Click **Electronic Filing Options** > **990/Exempt** on the navigation panel.
4. Enter information for 990/Exempt filing options in the various areas.

Component	Description
What to electronically file	
Electronically file federal return and enable electronic filing for selected return types	Enable federal returns for electronic filing and the following return units: ▪ Select **Extensions** to enable extensions for electronic filing. This option applies to tax years 2012 and higher. ▪ Select **All state returns** to file all states in the return electronically. This option applies to tax years 2013 and higher. ▪ Select **Estimated tax payments** to file estimated tax payments electronically. This option applies to tax years 2015 and higher. ▪ Select **Federal elections with signatures required** to include federal elections requiring signatures with Individual electronic files.

<table>
<tr><th>Component</th><th>Description</th></tr>
<tr><td colspan="2">Printing upon export</td></tr>
<tr><td>Always produce 8879-SO during export</td><td>This option is currently not used and will be enabled in a future release.</td></tr>
<tr><td colspan="2">e-file paragraph in letters and filing instructions</td></tr>
<tr><td>Transmittal/filing instructions paragraph</td><td>Select how to print the transmittal letter and filing instruction paragraph for returns filed electronically. Select one of the following:
Not applicable
Standard
Alternate
Suppress
No further action
No further action - send 8879-EO</td></tr>
<tr><td colspan="2">Electronic filing notifications</td></tr>
<tr><td colspan="2">Notes:
Email notifications are free of charge.
Postcard notifications are priced according to the latest Pricing Catalog for each taxing authority in the return.
Email 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.</td></tr>
<tr><td>Electronic filing notification to client option</td><td>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
Notes:
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.
Notifications are not sent for MI or OH city returns or extensions acceptance.</td></tr>
<tr><td>Electronic filing notification to signer option</td><td>Select one of the following for signers to receive notifications when returns or extensions are accepted by a</td></tr>
</table>

Component	Description
	taxing authority: ▪ Notify all signers by email ▪ Notify all signers by postcard ▪ Send no notification to signer **Note**: Notifications are not sent for MI or OH city returns or extensions acceptance.
Electronic filing rejection notification to signer option	Select one of the following for signers to receive notifications when returns or extension are rejected by a taxing authority: ▪ Send no notifications ▪ Send e-mail to signer ▪ Send e-mail to alternate signer email address ▪ Send e-mail to both signer and alternate
Electronic filing stopped notification to signer option	Select one of the following for signers to receive notifications when returns or extension are stopped by the Tax system: ▪ Send no notifications ▪ Send e-mail to signer ▪ Send e-mail to alternate signer e-mail address ▪ Send e-mail to both signer and alternate **Note**: This option applies to tax years 2017 and higher.
Send notification to signer when 8879 has not been received	Select for signers to receive notifications when taxpayer signatures have not been received on Form 8879 within a designated time period. A notification is sent when a date has not been entered in the Electronic Filing Status System *Signature Form - Received* column within the designated time period. The notification is sent to the signer's email address or, if entered, to the signer's alternate email address. Select the check box, and then accept the default number of days, or enter a different number.
Notification options	
Send e-mail notification to e-mail address below in lieu of signer	If you selected to notify all signers by email, you can enter an alternate email address to receive notifications in lieu of the signer's email address. **Important**: If you select to send email notifications to an alternate address, you must enter the email address; otherwise, notifications are not sent.
Select the type of notification	If you selected to send electronic filing notifications to

Component	Description
to be received	clients or signers, by default, Return is selected. You can change your selection from the following options: ▪ Return ▪ Extensions
Select the taxing authority you want to receive notifications for	If you selected to send electronic filing notifications to clients or signers, by default, Federal is selected. You can change your selection from the following options: ▪ Federal ▪ State/Cities ▪ FBAR **Note**: The FBAR option applies to returns filed to report foreign bank and financial account information.

5. Click **Save** to save your changes and continue working in the return configuration set, or click **Save and Close** to save your changes and close the return configuration set.

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

Return Type	Worksheet
1040 Individual	Federal: Federal > General > Electronic Filing Specialized State: Federal General > Electronic Filing > Section 5
1065 Partnership, 1120 Corporation, 1120S S Corporation, 1041 Fiduciary	Federal > General > Electronic Filing
5500 Employee Benefit Plan (not applicable for extensions)	Federal > General > Electronic Filing
990 Exempt Organization	Federal > General > Electronic Filing

For information about setting default electronic filing settings in the return configuration set, see Configuring Electronic Filing Default Settings.

Designating State Returns for Magnetic Media Electronic Filing

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

State/Return Type	Worksheet
Arkansas / Partnership	Federal > General > Electronic Filing > Section 4
Arkansas / S Corporation	Federal > General > Electronic Filing > Section 4
California / Partnership	Federal > General > Electronic Filing > Section 4
New Jersey / Partnership	Federal > General > Electronic Filing > Section 4
New Jersey / S Corporation	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.

Export of New Jersey magnetic media applies to tax years 2012 and higher.

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 39
- *Attaching PDF Files for Electronic Filing* on page 40

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 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 2017 returns:

Return Type	Dates Available to e-file
Individual	Returns filed after e-file opens in early 2018 Form 4868 until April 17, 2018 Form 2350 until June 15, 2018
Partnership	Returns filed after e-file opens in early 2018
Corporation	Returns filed after e-file opens in early 2018
S Corporation	Returns filed after e-file opens in early 2018
Fiduciary	Returns filed after e-file opens in early 2018
Employee Benefit Plan	Returns filed after forms release
Exempt Organization	Returns filed after e-file opens in early 2018

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 the General > Electronic Filing worksheet, indicating to not transmit the Federal return.
- Amended Individual returns must be filed on paper. You cannot change or resubmit them electronically.

Partnership Returns

- The general partner and signature authorization are required on Form 8879-PE. For extensions, enter **Print Form 7004** on the Other > 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

- As of tax year 2014, 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 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.

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 the Federal > General Electronic Filing worksheet. For 2015 and later returns, 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 the Federal > General > Electronic Filing worksheet. For 2015 and later returns, 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 below.

Return Type	PDF Attachment Sections on Worksheet Federal > General > Electronic Filing
Individual	Section 8 - PDF Attachments
Partnership, Fiduciary	Section 7 - PDF Attachment - Required Section 8 - PDF Attachment - Optional
Corporation, S Corporation	Section 6 - PDF Attachments - Required Section 7 - PDF Attachments - Optional
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 at the top of the section to attach another PDF.

6. On the Attach File window, select to browse to a PDF from one of the following locations, and then click **Continue**:

- Select **Document** to locate available PDFs that are stored for the client in Document.

  Notes: The following conditions must be met:

  - Document is licensed and installed.
  - You are assigned the necessary Document permissions.
  - The return tax year is 2015 or higher.

- Select **My device** to locate PDFs that are saved on your machine or device.

7. Browse to and select the PDF to attach, and then click **Open**. If you are attaching a Document PDF, the files for the return tax year display by default, if available, but you can browse to another Document location, if needed.

   Note: Files that are downloaded from Document are saved only in the tax return and not on your machine or device.

8. 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.
9. To attach another PDF, click at the top of the section, and then complete steps 4 - 7.
10. 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:

- Amended or corrected returns (only one electronic return for the current tax year can be filed for any taxpayer)
- 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
- 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, 2014
- 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, 2014
- 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 5500 EZ, Form SSA, and 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.

See *Chapter 3 - Preparing a Return or Extension Form for Electronic Filing* on page 35 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 47. For more detailed information, see CCH® eSign Guides and References.

1. Select **Calc > Return** on the Home tab, and then review the Diagnostics report to qualify the return or extension form for electronic filing.
2. Do one of the following:
   - Click **EFS** in the Export group on the Import/Export tab.
   - Click **Export** in the EFS group on the Review tab.
3. Select one of the following options from the menu:
   - Returns
   - Extensions
   - Specialized State Extension
   - Specialized State Estimate > Quarter
   - New York IT-204-LL
   - Report of Foreign Bank/Financial Accounts

     Note: This option exports Form 114 and applies to tax years 2013 and higher.

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.
   - For tax years 2013 and higher, you can click **Review electronic filing direct deposit/debit report** to review deposit and debit details.

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 print set assigned to the return's organizational unit is used; however, Authorization forms print first, regardless of the print set print order.

     The CCH eSign package cannot exceed 20 MB or 2,000 pages. For tax years 2015 and higher, 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.
   - Select **Publish eSign copy to Portal** if you have the standalone version of Portal installed and would like the signed documents to be uploaded from eSign to Portal. If the client is not linked to Portal, you are prompted to select or create the portal.

6. Click **Next**.

   Note: If you are exporting magnetic media files for the following states, the system provides you the export file path:

   - For Arkansas, the file path is C:\Users\<*your user name*>\Documents\WK\Return Print Files\AR10000CR\<*tax year*>
   - For California. the file path is C:\Users\<*your user name*>\Documents\WK\Return Print Files\Magnetic
   - For New Jersey, the file path is C:\Users\<*your user name*>\Documents\WK\Return Print Files\NJ1080C\<*tax year*>

7. Click one of the following to upload the return to the Electronic Filing Status System:

   - Click **Upload and hold** to upload the selected return to the Electronic Filing Status System and hold the return for manual release to the taxing authority.
   - Click **Upload and release** to uploads the return to the Electronic Filing Status System and release the return to the taxing authority automatically.

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

8. Do one of the following:
    - If no PDF files are attached to the return, skip to step 9.
    - 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. You can click the **PDF** icon in the View column to review the PDF attachments, if needed.
9. Click **Export** to continue the export process.
10. When the upload is complete, click **Finish**. If signature forms have been prepared and you did not select Send for eSign, you are prompted to print the required signature forms. For New Jersey magnetic media, you are prompted to open Batch Manager to download the magnetic media file.
    - 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, 8879-B, 8453-PE, 8453-B, 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, 8879-B, 8453-PE, or 8453-B 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.

For Employee Benefit Plan returns, the General > Electronic Filing worksheet 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 2013 and higher returns, you can upload the return and request a digital signature for authorization forms. Beginning with tax year 2014, 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 > 1040/Individual window in the return configuration set is selected.
- The return units are 2013 tax year or higher 1040 federal and, if applicable, 2014 tax year or higher 1040 qualifying states. 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 Axcess :
  - In Dashboard, click **Electronic Filing Status System** on the Application Links window.
  - In Return Manager, click **Status** in the EFS group on the Utilities ribbon.
  - In a tax return, click **Status** in the EFS group on the Review ribbon.
- To access directly from the internet, launch your web browser and go to efile.prosystemfx.com.

Important: If you are using Microsoft® Internet Explorer® version 7 or higher, add the following sites as trusted sites on your Internet options:

https://tc.tcsso.cchgroup.com and https://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 Axcess filters

   - Tax Year
   - Return Type
   - Region
   - Return Group
   - Signer
   - Office
   - Date From and To
   - Federal, State, and/or FBAR
   - Status
   - Exclude Returns on Extension
   - Show Returns with Signature Forms Not Received
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.

Icon	Description
	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.
	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:

- If you are using Microsoft® Internet Explorer® version 7 or higher, add the following sites as trusted sites on your Internet options: https://tc.tcsso.cchgroup.com and https://efile.prosystemfx.com.

- 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
  - **1120**. Corporation
  - **1120S**. S-Corporation
  - **1041**. Fiduciary
  - **990**. Exempt
  - **5500**. Employee Benefit Plan
  - **4868/2350**. Individual Extensions
  - **7004P**. Partnership Extensions
  - **7004F**. Fiduciary Extensions
  - **7004C**. Corporation Extensions
  - **7004S**. S-Corporation Extensions
  - **8868**. Exempt Extensions

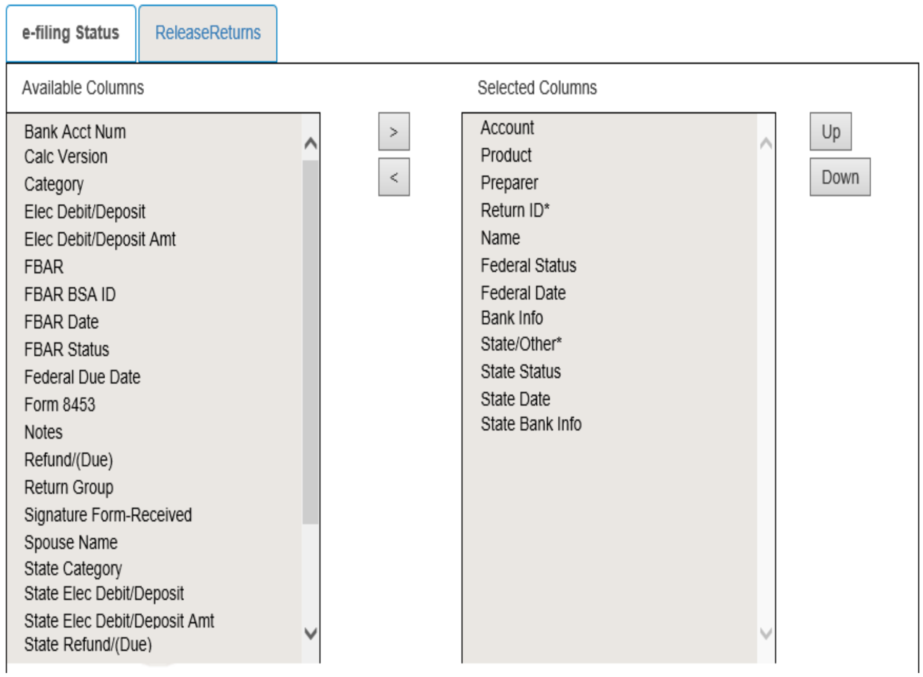
Customizing Grid Columns

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.

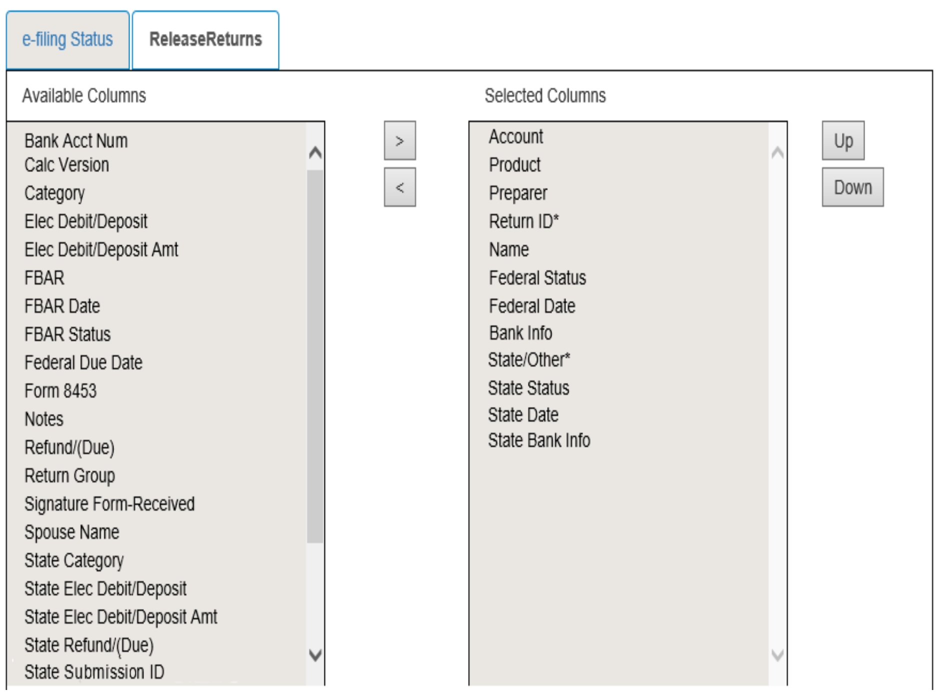
See Column Descriptions for an explanation of the data displayed in each grid column.

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
     - 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.

Column Descriptions

- **Category** and **State Category**. Provide 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)**. Provide a refund amount or amount due.
- **Return Group**. Return Group and Office Group are synonymous.
- **Return ID**. This column is required.
- **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 49.
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 49 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 49.
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 56.

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 49.
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 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 49.

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 52.

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 44 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 49 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 49 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.

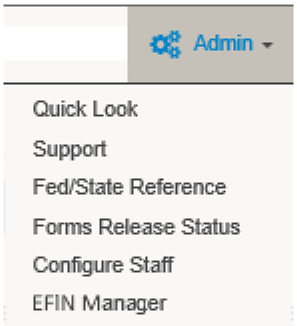
5. Click **Release Returns** below the grid. The Release Information window displays only returns with a current status of *Ready to Release by Customer*.
6. Do any of the following to change, print, or export your selected returns:
   - Select returns to release using one of the following methods:
     - 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 66 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, 2018.

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 beginning with tax year 2016.

Adding EFIN Information

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 a value from the list of eligible account numbers for the EFIN. You can select multiple account numbers for a single or multiple EFINs using your keyboard Ctrl key, if needed. You can also change the account number selection at a later time.

   Notes:

   - The account name that is associated with the account number(s) automatically displays.
   - Account name detail applies to CCH ProSystem *fx* and CCH Global *fx* only. Names are not provided for CCH Axcess accounts.
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.
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. **Note**: Account name detail applies to CCH ProSystem *fx* and CCH Global *fx* only. Names are not provided for CCH Axcess accounts.
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.

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 list of eligible account numbers for the EFIN. You can select multiple account numbers using your keyboard Ctrl key, if needed.

2. Click **Save**.

Additional Information

- See more information about EFINs.
- See more information about Vendor Control Numbers.
- See information about entering the EFIN and VCN in the Return Configuration Set > 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 49. 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.

You can also review the status of electronically filed returns in CCH Axcess™ Tax, Return Manager, and Batch Manager. The progress of electronically filed returns is sent from the Electronic Filing Status System to Return Manager and Batch Manager. You can also review the status of your electronically filed returns from your mobile device using e-File Status.

- **CCH Axcess™ Tax Return Manager**. You can display e-file status in the Return Manager grid in the following ways:
  - **Quick Search filters**. Add filters to Quick Search on the navigation panel to search for returns with an electronic filing status for one or more of the following: federal, state, and city returns, and federal extension. If your previously selected view contains columns for e-file status, the status for each return is displayed in the grid. The system retains added filters, so they can be used the next time you log in.
  - **Most Recently Used view**. Click this view on the navigation panel to display returns with a federal and state e-file statuses in the grid.

    - **Current Year e-file Status view**. Click this view on the navigation panel to display federal, state, and city returns, and federal extension e-file statuses in the grid.
    - **Custom views**. Select to filter data in custom views by adding Federal, State, City, FBAR, and Federal Extension e-file Status columns in the grid.
- **CCH Axcess™ Tax Batch Manager**. Filter the Batch Manager grid by the e-File Extensions and Specialized State job types to display the progress of return extensions and estimates that are electronically filed. The current status displays in the Job Status column.
- **Mobile e-File Status**. To find information about this application, and to see a complete list of CCH Mobile™ applications, go to the mobile page on our website, and then click **Software**.

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.
- You can also view e-filing status from Notifications that are created in CCH Axcess™ Workstream to inform you when the electronic filing status of returns linked to a project have changed.
- 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 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-processed.
- **Upload Canceled**. The file upload process has been canceled and the return will not be uploaded to the server.
- **Upload Started**. The file has been queued for upload to the server.

Category: Released

- **Released for Transmission - Validation in Progress**. The return has been released by the tax preparer and is ready to be transmitted to the IRS or DOL. Check back to find out if the return receives an *Accepted* status.
- **Ready to Transmit - Validation Complete**. The return has been released by the tax preparer and is ready to be transmitted to the IRS or DOL.

- **Transmitted**. The return has been transmitted but no acknowledgments have been received from the IRS or DOL.
- **Holding for Transmission - No Action Required by Customer**. (Individual returns only) The return was held for Legislature extensions.

Category: Not Accepted

Sub-Category: Rejected

- **Rejected**. The IRS or DOL has rejected the return for processing. See *Viewing the Reject Report* on page 71 for more information. You need to make any necessary corrections, recalculate, re-upload, and resend 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 within 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 58 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. You need to 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. Return should be sent to federal only.
- **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 re-processed on the latest release.

- **Transmission incomplete, please re-process**. Transmission of the return failed to complete. Re-process 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 then 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 then 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 then 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 disqualified or not approved State. Please resubmit as State only, 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 82 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 63 for information about viewing your firm's EFINs and associated VCNs.

Sub-Category: Stopped - CCH Reviewing

You have received this status because of one of the following circumstances:

- **Stopped for CCH review**.
- **Byte Count Error**. The return was stopped for review by CCH because of an incorrect byte count. You need to recalculate, re-export, re-upload, and resubmit 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 only; certain states) When a state issues a conditional acceptance, it allows the state additional time to do further processing to see if they need any additional information. The state will sometimes send out 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 only; 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 only) 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 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 at the IRS and the IRS may disallow the EIC credit or dependent exemption for the dependent whose SSN is in question. The returns with this status will take additional processing time at the IRS, meaning the refund for the taxpayer could be delayed up to 4 to 6 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**. This return must be paper filed.
- **Status Set to Paper Filed, as Customer Request**. This return has had its status set to a paper filing, per the customer's request.
- **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 and the return will not be uploaded to the server.
- **Disqualified or Not Yet Available for Filing**. This return was exported with a disqualified or not approved State. Please resubmit as State only, 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 49.
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 49.
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 49.
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. Please refer to online FAQs 35 through 41 at http://www.dol.gov/ebsa/faqs/faq-EFAST2.html. The EFAST2 Guide for Filers and Service Providers also contains information regarding submissions to the EFAST2 system. The guide is available from the Forms, Instructions, and Publications page 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

The return configuration set in CCH Axcess 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 signer option**. Select one of the following for signers to receive notifications when returns or extensions are accepted by a taxing authority:
  - Notify all signers by email
  - Notify all signers by postcard
  - Send no notification to signer

Electronic Filing Status - Rejected

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

Electronic Filing Status - Stopped

- **Electronic filing stopped notification to signer option**. Select one of the following for signers to receive notifications when returns or extensions are stopped by the Tax system:
  - Send no notifications
  - Send e-mail to signer
  - Send e-mail to alternate signer e-mail address
  - Send e-mail to both signer 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 67
- **CCH Axcess return configuration set**. *Managing Signer and Return Configuration Set Electronic Filing Settings* on page 7
- **ProSystem fx Office Manager**. Configuring Office Manager Electronic Filing Settings

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

Abbreviation	For Category of Return
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
K19S	KC MO RD109 Spouse
LLCP	LLC-LLP Payment

Abbreviation	For Category of Return
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
T173	TN FAE173
T183	TN FAE183

Abbreviation	For Category of Return
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 in a return configuration set, 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 84

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.

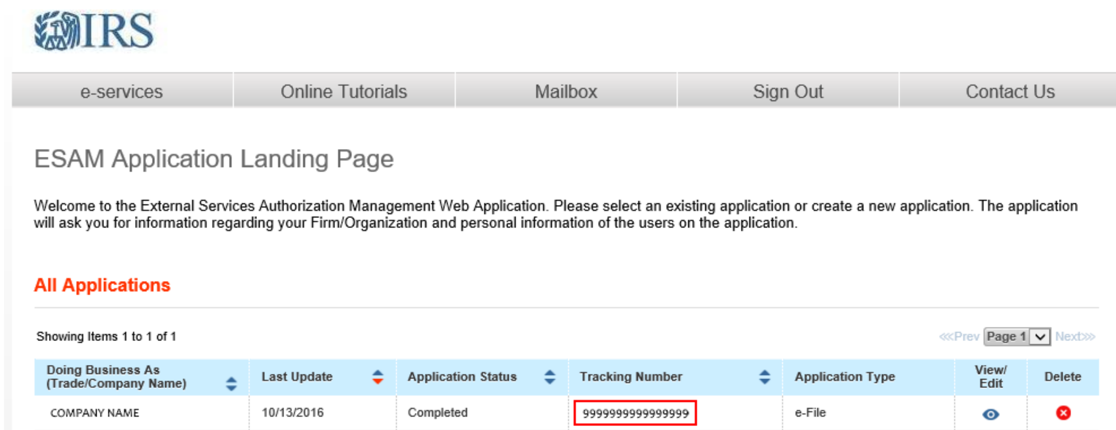
To view your approved e-file Application to view the EFIN and Tracking Number, do the following:

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

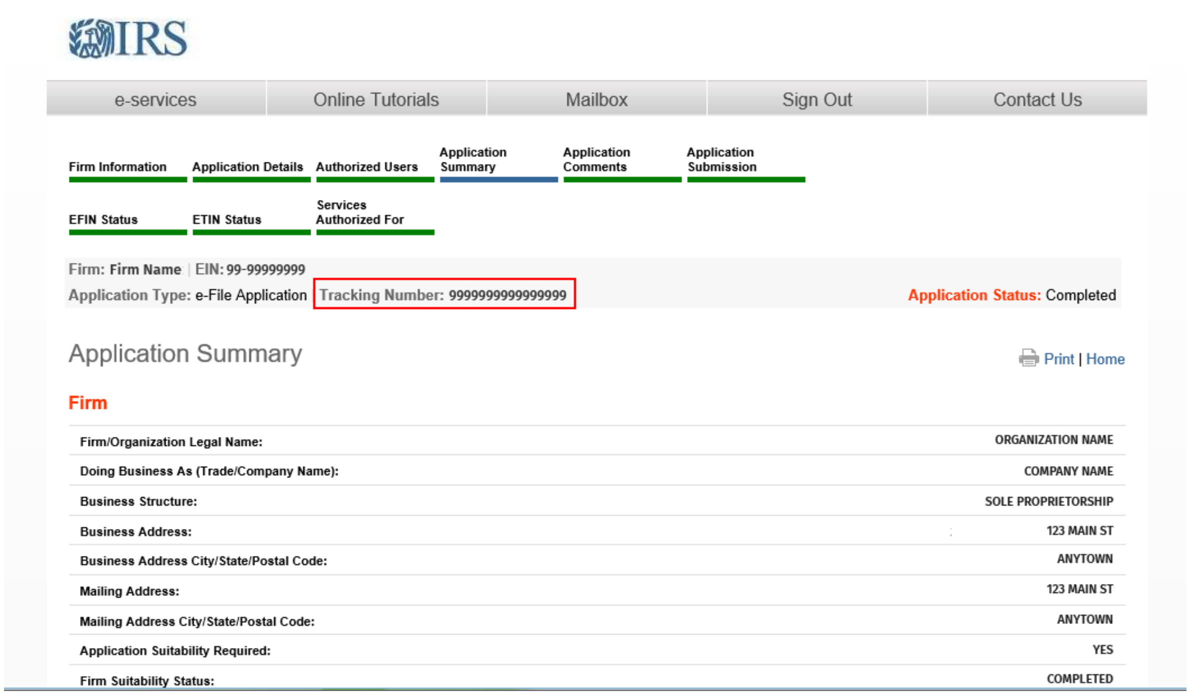
3. Under e-Services, click **Access e-Services**.
4. Under e-file Application, click **Go**.
5. Enter your username and password and click **Login** or click **Register** to create an account.

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

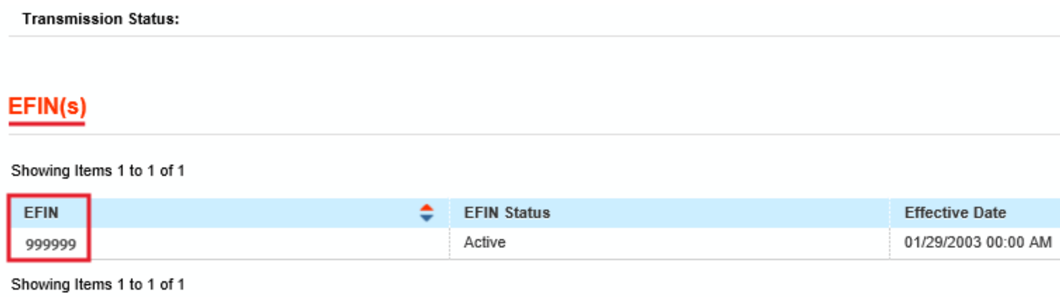
6. If you have multiple organizations that you represent, select the organization for the Application Summary you want to view. On the Application Landing page, the Tracking Number for the organization displays. Show me.



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 63 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 Individual 1040 returns starting with tax year 2016. 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 Individual 1040 return 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 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 on April 22 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 by April 22, 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 for each return type listed under Electronic Filing Options in the return configuration set that was used to process returns for electronic filing.
- 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 82 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 63 for information about viewing your firm's EFINs and associated VCNs.