Wolters Kluwer
When you have to be right

CCH Axcess™

At the Center of the Firm in Motion

CCH® eSign

User Guide

January 2021

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Chapter 1

Introducing CCH® eSign

Welcome to CCH eSign

CCH eSign allows you to securely send documents to your clients, employees, and other third parties to obtain their electronic signatures. Wolters Kluwer has collaborated with AssureSign to provide you with a secure eSign solution that is compliant with the ESIGN Act and the guidelines provided by the Internal Revenue Service (IRS).

You must obtain a separate license to use CCH eSign. There is no charge for the CCH eSign license, but transaction fees will be billed monthly based on usage. For more information on transaction charges please contact us at 800-739-9998, Option 1, Option 1.

Sending Form 8879 and State Equivalents for Electronic Signature

For Form 8879 and state e-file signature authorization forms, CCH eSign is uniquely integrated with CCH Axcess™ Tax and the Electronic Filing Status System to improve your workflow and save you time. You can initiate sending Form 8879 and state equivalents without leaving the Tax software. The Electronic Filing Status System is automatically updated as soon as Form 8879 and any state equivalents are electronically signed by your clients.

Note: Refer to State eSign Approval Status for a list of states that permit electronic signatures.

Because Form 8879 and the accompanying tax return contain Personally Identifiable Information (PII), the IRS requires the identities of the taxpayer and spouse to be verified before they can see the forms and electronically sign. CCH eSign does this using dynamic Knowledge Based Authentication (KBA). Dynamic KBA meets the requirements of IRS Publication 1345 and is also used by other government agencies and financial institutions.

At this time, the IRS accepts electronic signatures on Form 8879 for Individual (1040) returns only. In the future, we expect the IRS to accept electronic signatures for other entities, such as Form 8879-PE.

What Else Can Be Electronically Signed?

While most documents can be legally electronically signed per the ESIGN Act, the IRS does not accept electronic signatures on all forms at this time. Other documents and forms that can be electronically signed include the following:

- Engagement letters and representation letters
- Internal Human Resources documents
- Partnership agreements
- Audit confirmations
- New client acceptance forms
- The following IRS forms and documents:
    - Form 4506-T Request for Transcript of Tax Return (can be scanned and then sent). Click the link below to view the form.
        - http://www.irs.gov/pub/irs-pdf/f4506t.pdf
    - Form W-4 and W-9 (can be scanned and then sent)

What Forms Cannot Be Electronically Signed?

Examples of forms the IRS has not yet approved for electronic signature include the following:

- Form 8879 for return types other than Form 1040, such as Form 8879-PE and Form 8879-C
- Form 2848, Power of Attorney and Declaration of Representative

The Process Flow for Form 8879 and State Equivalent Forms

Tax Preparer Steps	Automatic CCH eSign Steps	Taxpayer/Spouse Steps
Ensures email addresses are entered in the Tax software		
Initiates the return export and selects the *Send for eSign* option	Sends an email to the taxpayer (and reminders, if needed)	Receives an email and clicks the signing link in the email
	Launches the secure web page and walks the taxpayer through each step	Reads the Welcome screen and selects *Continue*
	Asks dynamic KBA questions to verify identity	Answers 3 of 4 questions correctly*

Tax Preparer Steps	Automatic CCH eSign Steps	Taxpayer/Spouse Steps
	Tells taxpayer if identity is verified	If identity verified, provides a password (in case the taxpayer wants to finish later)
	Asks the taxpayer to agree to terms (accept document and sign electronically)	Reads and accepts the agreement terms, and then selects *Preview Document*
	Presents a PDF image of the tax return with 8879 on top	Reviews and selects *Start Signing*
	Presents an image of Form 8879 with a signature box	Signs in the signature box and selects *Finish*
	Sends a confirmation email to the taxpayer and tax preparer and updates the Electronic Filing Status System	Reviews the confirmation screen with an option to download return
Receives email confirming receipt of the signed 8879		Receives a confirmation email with a link to download the return
Releases the return for electronic filing		

* One question may be skipped, but an incorrect answer results in KBA failure (for example, the identity is not verified, so the tax return is not shown and Form 8879 cannot be electronically signed). If the taxpayer fails the KBA, the tax preparer is notified and can either resend the return for electronic signature or send Form 8879 for manual signature.

Chapter 2

SETTING UP CCH ESIGN

The integration of CCH® eSign with CCH Axcess™ Tax begins with setting up your eSign account, setting up AssureSign users, and activating the Send for eSign option. Form 8879 and qualified state e-file signature authorization forms can then be sent from Tax to CCH eSign for qualified Individual (1040) returns.

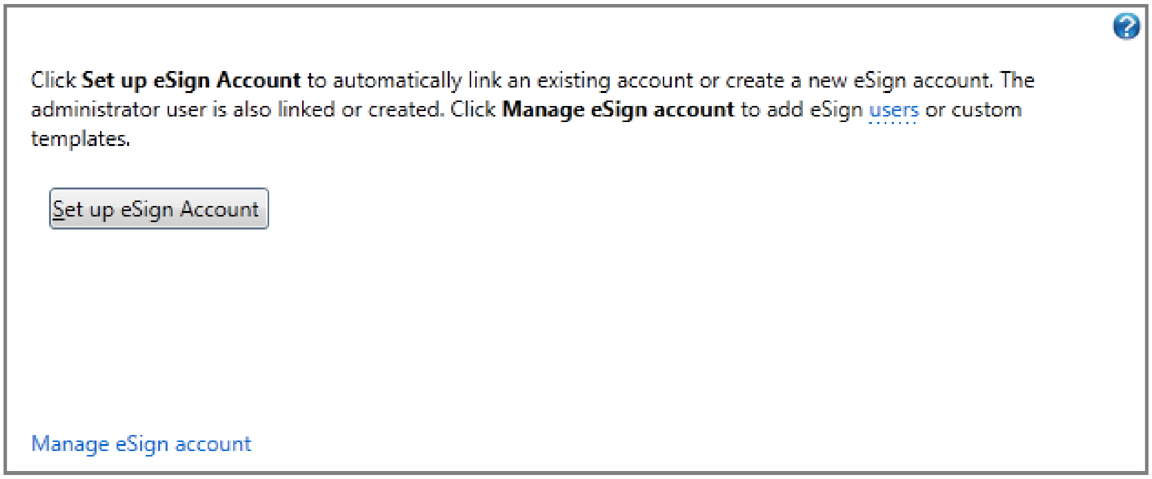
After authorization forms are sent to CCH eSign, the client receives an email requesting an electronic signature. The client clicks a signing link in the email that opens a secure web page. For Form 8879, where identity verification is required by the IRS, CCH eSign provides dynamic Knowledge Based Authentication (KBA). The taxpayer and spouse cannot see Form 8879 and the accompanying tax return until their identity is successfully verified using the dynamic KBA process. See *Chapter 5 - The Signer Experience for an e-file Signature Authorization Form with KBA* on page 19 for more information.

Setting up Your eSign Account

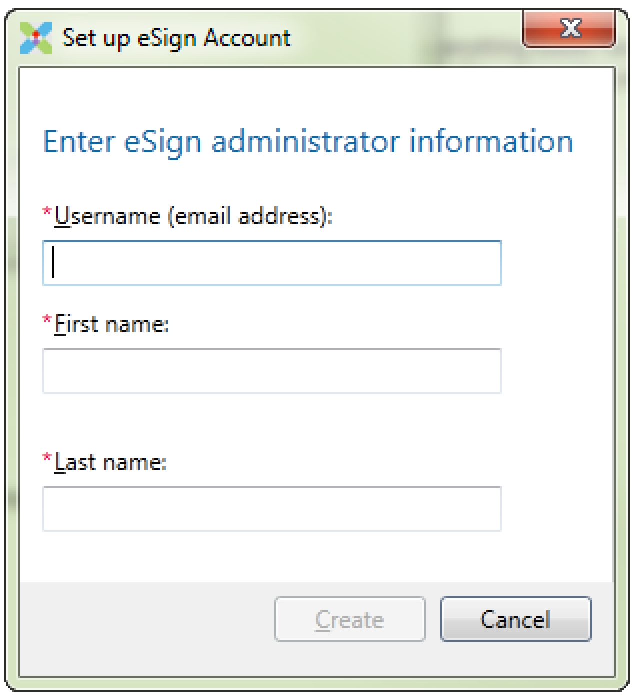
The initial set up of CCH eSign is done in CCH Axcess™ Tax to establish the integration that is used for Form 8879 and state e-file signature authorization forms. The initial setup in CCH Axcess™Tax includes designating a CCH eSign Administrator. After the initial setup is complete, the CCH eSign Administrator can set up additional users, customize communications, and complete other tasks in AssureSign.

Complete the following procedure to initiate CCH eSign integration.

1. In CCH Axcess, open Dashboard, click **Application Links** on the navigation panel, and then click **Settings and defaults** under Firm.
2. Click **eSign** on the Firm navigation panel.
3. Click **Set up eSign Account**. If an eSign account exists, it will automatically link to CCH Axcess; otherwise, continue to step 4.



4. Enter the eSign administrator's information.
    a. Enter the username for the account, which is the administrator's email address.
    b. Enter the administrator's first and last names.
    c. Click **Create**. The administrator user is also created.



5. Accept the default template for each module type and click **OK**, or select a custom template from a list in the grid, and then click **OK**. eSign templates define the email notification content that is sent during the eSign process. See *Chapter 9 - Customizing Email Notifications* on page 33 for more information.

Activating the Send for eSign Option

The Send for eSign option is located on the Upload Returns window that displays when exporting returns for electronic filing. The option must be activated in either the return configuration set or manually in the return.

- **Return configuration set**. Activate eSign for all returns associated to a return configuration set. Open the Electronic Filing Options > 1040/Individual window in the return configuration set and select one or both of the following options:
  - **Electronically sign authorization form(s)**. Electronically file authorization forms with a digital signature for federal and qualifying states.
  - **Enable eSign if state returns do not qualify**. Electronically file authorization forms with a digital signature for federal and qualifying states when a state that does not qualify for eSign exists in the return.
- **Single return**. On a return-by-return basis, activate eSign by selecting **Yes** to *Electronically sign 8879* under Printing options in the General > Electronic Filing worksheet.

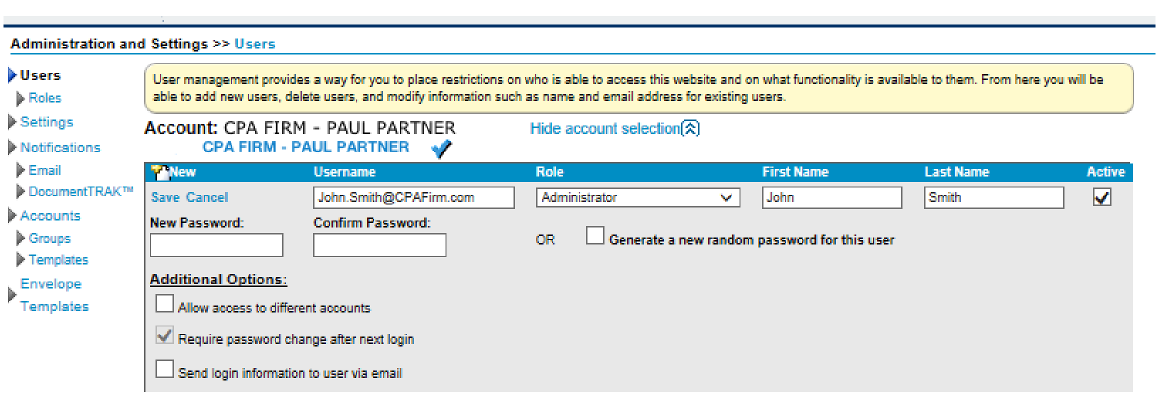
Accessing Your eSign Account and Setting up Users

The eSign administrator will receive an email with a temporary password and a URL to access the account. After logging in to the eSign account, the eSign administrator can start sending documents for electronic signatures. Your administrator can also set up other users to access the eSign account, which is required for the preparers to be able to send returns for eSign.

Adding Users

To add a user, do the following:

1. In your eSign account, click the **Administration** tab and select **Users**.
2. Click **New** to create a user.
3. The username (email address), role, and first and last name fields are required. A password can also be entered, or the administrator can select **Generate a new random password for this user**.
4. Click **Save**.



Selecting a Role

The following roles are available for selection:

- **Administrator**. Allows complete access to all functions and documents.
- **Power User**. Allows access to all documents, but does not allow access to administration functions.
- **Limited User**. Limits the access to documents created by specified users.

You can customize the permissions provided in a role or add new roles. For more information on adding users, roles, and permissions, refer to the AssureSign Knowledge Base. If you have additional questions, contact Customer Support at https://support.cch.com/contact/.

Configuring Signers in CCH Axcess Tax

CCH Axcess signers are staff who are identified in the return, staff profile, or return configuration set to sign in the Paid Preparer portion of the return. Set up signers as users in the eSign account, entering the same email address used for the signer in CCH Axcess .

If your firm uses a centralized email address as the signer email address, use this email address to establish a user in your eSign account. If your firm uses multiple signers with separate email addresses, each signer must be set up as a user in your eSign account.

When uploading the return for eSign, Tax will assign the signer email address as follows:

1. Signer email address entered in the General > Return Options > Preparer Information-Override Office Manager > Preparer e-mail address field.
2. If address #1 is not provided, the email address entered on the Tax > Signer window of the staff profile for the signer code specified in the General > Electronic Filing > Electronic Return Originator Override > Individual preparer code field.
3. If addresses #1 and #2 are not provided, the signer address entered in the General > Electronic Filing > Electronic Return Originator Override > Preparer e-mail address field.
4. If email addresses are not provided for # 1, #2, and #3, the email address provided for the ERO on the Electronic Filing Options window of the return configuration set.

Warning! If the signer email address is not set up in your eSign account, the return upload from CCH Axcess will not complete.

Tip: If you do not want signers to access other signer's returns, you can set up the signer as a limited user, or alternately, modify the Document and Reporting permissions to prevent access to documents created by other users.

Customizing Account Settings

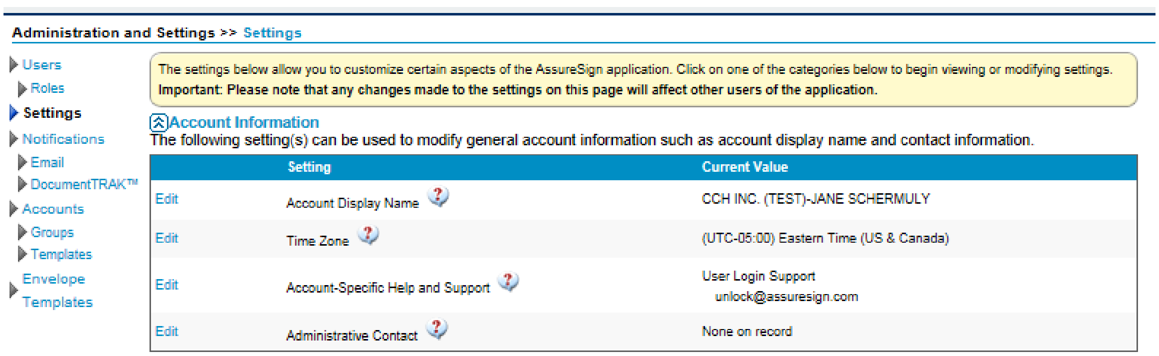
You can customize the firm name, security policies, and notification preferences according to the needs of your firm. To modify account settings, do the following:

1. In your eSign account, select the **Administration** tab.
2. Click **Settings** on the navigation panel.
3. Click **Edit** in any of the categories to view or modify the firm settings.

Customizing the Firm Name

When the account is set up, the firm name entered in CCH Axcess™ using *Firm > Settings and defaults* is automatically populated. To change the name, do the following:

1. Click **Edit** beside Account Display Name under Account Information to modify settings, such as Account Display Name, Time Zone, and Administrative Contact.



2. Enter a name in the Current Value column.
3. Click **Save**.

Customizing Security Policies

You can modify the default security policies by clicking any of the Edit links under Security Preferences.

Security Preferences

The following setting(s) can be used to control security settings for accounts.

	Setting	Current Value
Edit	Security Strength	Custom
Edit	Require New Users to Change Password After First Login	Yes
Edit	Automatic Lockout After Bad Password Attempts	3 Attempts
Edit	Password Strength	High
Edit	Minimum Password Length	8
Edit	Number of Days Until Password Expiration	60 Days
Edit	Number of Password Changes Before Password Reuse	5 Change(s)
Edit	Number of Idle Minutes Until Session Timeout	60

Customizing Notification Preferences

You can modify default notification preferences by clicking any of the Edit links under the Administration tab > Settings > Notification Preferences.

Email notification sender information can be customized for the signer or for the firm in the following ways:

- Using the signer email address
- Using a common firm-wide sender name and AssureSign domain
- Using a common firm-wide sender name and email address

Using the Signer Email Address

The default setting is to send emails using the signer email address. No further configuration is necessary.

Notification Preferences
The following setting(s) can be used to control default options and behaviors for the notifications that are sent during the signing process.

	Setting	Current Value
Edit	Send Emails On Behalf of Originator When Account Sender Email Address is Used?	Yes
Edit	Send Emails as High Priority?	Yes
Edit	Sender Email Address for Emails	donotreply@assuresign.com
Edit	Sender Name for Emails	CPA Firm
Edit	DocumentTRAK™ Credential	None on record
Edit	Forward Email Bounce-backs	Yes

If you do not change the notification preferences, the email that the client receives will indicate the name listed under Sender Name for Emails on behalf of the return signer.

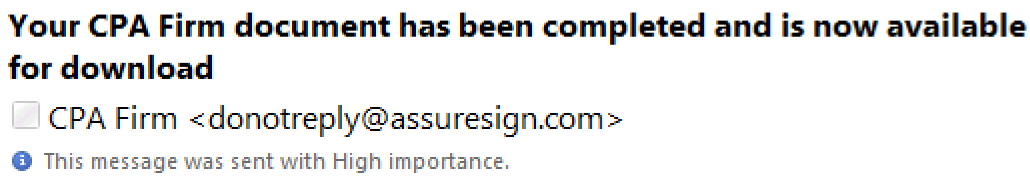
Note: The client is not able to respond to the sender email address. It is an unmonitored mailbox.

Using a Common Firm-wide Sender Name and the AssureSign Domain for Email

To use this option, do the following:

1. Edit the information in *Sender Name for Emails*.
2. Set *Send Emails on Behalf of Originator When Account Sender Email Address is Used* to **No**.

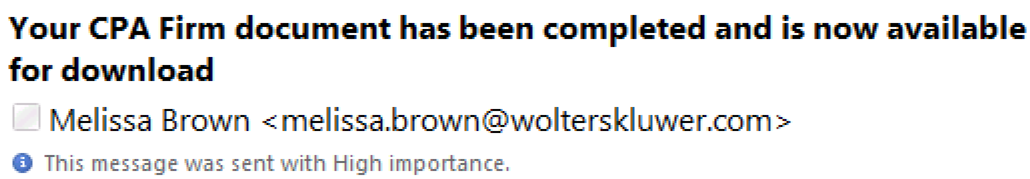
If you use this option, the email that the client receives will indicate it is from the CPA Firm (or whoever is listed under Sender Name for Emails) and will list the “do not reply” address. Again, the client will not be able to directly reply to these emails, since they’re from a “do not reply” address.



Using a Common Firm-wide Sender Name and Email Address

To use this option, do the following:

1. Edit the information for *Sender Email address for Emails* and *Sender Name for Emails*.
2. Set up your domain to allow AssureSign email servers to send mail on your behalf. This option enables AssureSign to send emails as if they were sent directly from your email account. Clients will be able to reply directly to the notification emails.

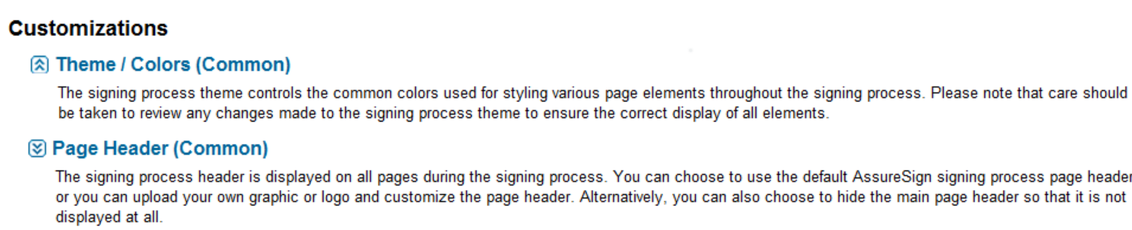


To ensure that the emails are sent to your client's inbox rather than a junk mail folder, set up your domain to allow AssureSign email servers to send mail on your behalf. Two technologies that are used for this purpose are SPF and DKIM. Both technologies use the DNS system for configuration. For more information about configuring your domain, refer to the AssureSign Knowledge Base.

Managing Branding

You can add your firm's logo and modify color preferences for signing screens according to your firm's branding. In your eSign account, select the **Administration** tab, click **Customization**, and do the following:

- To customize colors, select **Theme / Colors (Common)** and make the appropriate selections.
- To upload your logo, follow the instructions under **Page Header (Common)**.



Tip: For mobile usage, your eSign account can be configured with a smaller logo. Themes and colors cannot be modified for mobile usage at this time

To make additional changes to the user experience, refer to the AssureSign Knowledge Base. If you have questions, contact Customer Support at https://support.cch.com/contact/.

Chapter 3

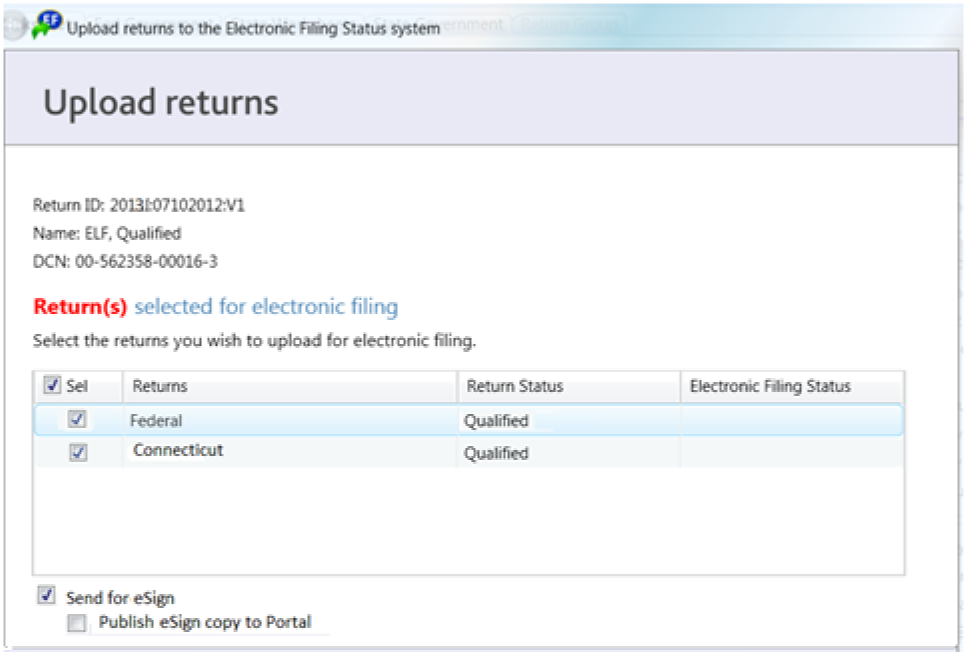
Sending e-file Signature Authorization Forms

After completing the setup tasks explained in Chapter 2, you can send e-file Signature Authorization Forms for eSign from CCH Axcess Tax.

Complete the process below only after you do the following:

- Designate the return for electronic filing and correct any errors identified in the return diagnostics which disqualify the return for electronic filing. You must also clear any unresolved diagnostics for the following required eSign information:
  - Taxpayer name
  - Taxpayer email address
  - Taxpayer SSN
  - Spouse name (if filing jointly)
  - Spouse email address (if filing jointly)
  - 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
- Ensure the following:
  - An email address exists for the taxpayer and, if filing a joint return, for the spouse in the General section of the General > Basic Data worksheet. The taxpayer and spouse must have separate email addresses.
  - *Create an electronic data file to be transmitted with third party software* is not enabled on the General > Electronic Filing > Electronic Filing Options worksheet.

1. Select **EFS > Return** on the Import/Export ribbon tab to open the Upload Returns window. All qualified return units are selected.



2. Select the return units to file electronically. Qualified units are selected by default. Disqualified or unapproved return units are unavailable for selection.
3. Select the **Send for eSign** option.
4. Select **Publish eSign copy to Portal** if you have the standalone version of CCH Axcess™ 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.
5. Click **Next**. The Send for eSign window displays.
6. Verify the return information and click **Start** create a CCH eSign package consisting 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.

   Note: 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.

7. Click **Upload and hold** to upload the eSign PDF to the Electronic Filing Status system (EFS).

   Note: The *Upload and release* option is not available when sending returns to eSign.

8. Click **Export** to continue the export process.
9. When the upload is complete, click **Finish**.

For information about tracking the status of eSign in EFS, see *Tracking eSign Status in the Electronic Filing Status System* on page 15.

Notes:

- If the upload to EFS is unsuccessful, you will have the options to cancel your eSign request.
- E-file signature authorization form requests sent on October 20 or prior will be available for eSign until October 20. Tax returns sent for eSign after October 20 will be available for eSign for 60 days.

Important:

- E-file signature authorization form requests sent prior to or on October 20 will be available for eSign until October 20. Tax returns sent for eSign after October 20 will be available for eSign for 60 days.
- Although CCH eSign maintains a copy of signed documents for up to 24 months, CCH eSign is not designed for indefinite storage. Just as you maintain and store your clients' tax returns, we encourage you to maintain and store copies of their e-signed Form 8879 and other important documents that have been e-signed.
- When state e-file signature authorization forms are sent with IRS Form 8879 for electronic signature in the same export batch, the taxpayer will receive an email request to electronically sign them after completing identity verification (KBA). This results in only one CCH eSign 8879 transaction charge when they are electronically signed. However, if federal and state e-file signature authorization forms are sent to taxpayers at different times (in separate export batches), a CCH eSign 8879 transaction charge will apply to each export when electronically signed.

Publishing to CCH Axcess™ Portal

When requesting eSign of an e-file signature authorization form during the return upload process from CCH Axcess, you can select to automatically publish the signed copy to the standalone version of Portal. If the tax return is not linked to a client portal, you are prompted to select an existing portal or create a portal during the upload process.

The e-file signature authorization form will be automatically transferred to Portal after it has been electronically signed. E-file signature authorization forms can be stored indefinitely until the user purges the documents.

The eSign Copy of a Tax Return

The eSign tax return copy is the same as your client copy with the e-file signature authorization form as the first page. The state return is also included along with the federal return, provided the state permits eSign and the state was selected for upload. See *Appendix A - Status of State eSign Approval of Authorization Forms* on page 51 for more information.

Correspondence eSign References

The transmittal letters and filing instructions are modified for electronic signatures when documents are sent for eSign.

Standard Filing Instructions / Transmittal Letter - Refund

This return has been prepared for electronic filing and eSign has been selected. Please follow the instructions in the e-mail notification to electronically sign the e-file signature authorization form. We will then transmit your return electronically to the IRS. If after three weeks you have not received your refund, you may contact the IRS at 1-800-829-4477.*

Standard Filing Instructions / Transmittal Letter - Balance Due / Zero Balance

This return has been prepared for electronic filing and eSign has been selected. Please follow the instructions in the e-mail notification to electronically sign the e-file signature authorization form. We will then transmit your return electronically to the IRS. Do not mail the paper copy of the return to the IRS.*

Filing Instructions

*This return has been prepared for electronic filing and eSign has been selected. Please follow the instructions in the e-mail notification to electronically sign the e-file signature authorization form. We will then transmit your return electronically to the IRS.**

* When state returns are present, the appropriate state authority will be referenced.

Tracking eSign Status in the Electronic Filing Status System

The Electronic Filing Status system (EFS) tracks returns that are sent for eSign and the date signed documents are received on the e-filing Status tab. When a return requesting eSign is uploaded for electronic filing, it is tagged with the sent for eSign icon that displays in the Return ID column.

Upon completion of the signatures, the Signature Form-Received column is automatically updated with the date of the signature in blue font. For a joint return, this is the date the second spouse signs.

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

Chapter 4

AssureSign Interfaces and Applications

AssureSign provides multiple options to fit eSign into your firm's processes. You can send documents for eSign using any of the following:

- Web Interface
- AssureSign API
- Desktop Applications
  - Send to AssureSign desktop application
  - Document Utility Launch
- CRM Integration

Web Interface

The Web interface provides the simplest setup and is accessible anywhere, anytime. Once setup is completed, you can log in to the eSign account, provide your credentials, and start sending documents using the Documents tab. This option can be used for any document sent for eSign and is best used for documents that do not conform to a standardized process.

AssureSign API

Our eSign partner, AssureSign, provides APIs (DocumentNOW®) that you can easily integrate with your existing processes. This option is recommended when integrating CCH eSign with your existing processes.

Refer to the AssureSign Knowledge Base for API information and code samples.

Desktop Applications

The following desktop applications allow you to quickly and easily send documents from your computer to be eSigned without logging in to the Web application:

- Send to AssureSign desktop application
- Document Launch utility

AssureSign Desktop Application

This application allows you to send documents for eSign in bulk or on a document-by-document basis. It also allows access to advanced features for applying JotBlocks (signature fields).

For more information and installation files, refer to *Appendix B - Send to AssureSign Desktop Application* on page 53 or the [AssureSign Knowledge Base].

Notes:

- You are prompted to enter the URL for your eSign account during installation. Enter *https://na1.assuresign.net* to log in.
- AssureSign installs a print driver called *Send to AssureSign* that may be used to print from any application directly to the Send to AssureSign workspace.

Document Launch Utility

This utility allows you to send documents for eSign by dragging or by using the Send to AssureSign option on the context menu. You can send the following document types:

- Microsoft® Word documents with the extensions DOC/DOCX
- Portable Document Format documents with the extension PDF
- Rich text documents with extension RTF
- Documents with extensions ODT, HTM/HTML, TIF/TIFF

For more information and installation files, refer to the AssureSign Knowledge Base or contact Customer Support at https://support.cch.com/contact/.

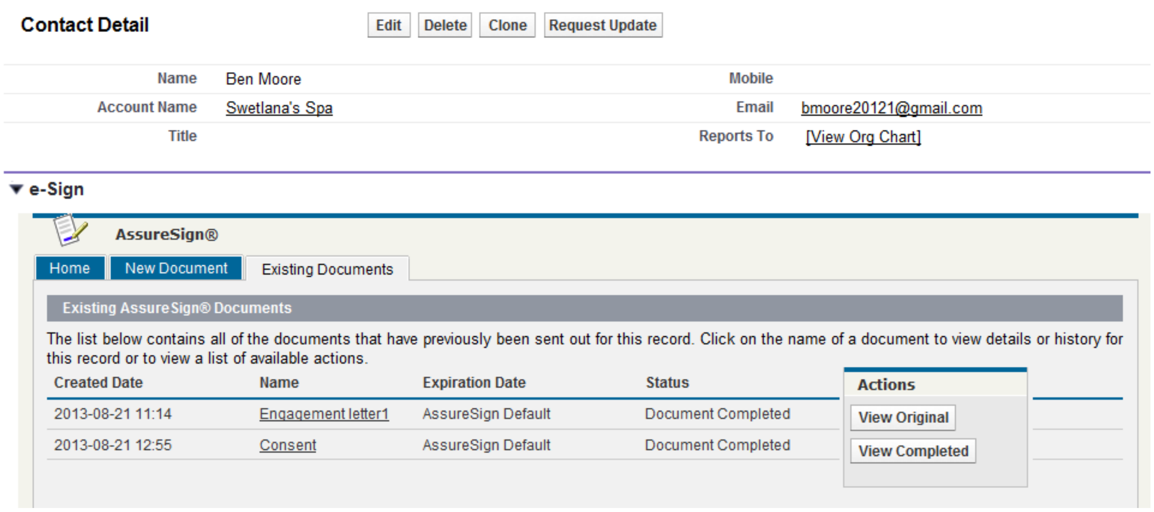
Note: You are prompted to do the following during installation:

- Enter the URL for your eSign account. Enter *https://na1.assuresign.net* to log in.
- Enter the DocumentNOW® Account Context Identifier, which is available for your eSign account at Administration > Settings > DocumentNow Integration.

CRM Integration

Integration with Salesforce®

You can send and track documents sent for eSign through your Salesforce® account.



Refer to the following AssureSign Knowledge Base articles to configure your Salesforce® account:

- Installing AssureSign for Salesforce
- Adding AssureSign to the Appropriate Page Layout(s)
- Configuring AssureSign/Salesforce Object Field Mapping

Integration with Microsoft Dynamics®

You can send and track documents sent for eSign in Microsoft Dynamics®. For more information about integration with Microsoft Dynamics®, refer to the AssureSign Knowledge Base.

- Getting Started with AssureSign for CRM
- Download the AssureSign Solution for Dynamics CRM
- Configuring the CRM Solution

Chapter 5

The Signer Experience for an e-file Signature Authorization Form with KBA

The signer experience for an e-file signature authorization form with KBA is almost identical to the experience described in *Chapter 6 - Sending Other Documents and the Signer Experience* on page 24 with the exception of signer authentication and the email notifications.

Authenticating Signers

Authenticating signers ensures that the document you send for eSign does not fall into the wrong hands. It also provides proof of a signer's identification, making the electronic signature more credible and less likely to be rejected.

CCH® eSign provides the following two methods of authentication:

- **E-file signature authorization form**. Knowledge Based Authentication
- **Other document**. Shared Secret Approach (see *Chapter 6 - Sending Other Documents and the Signer Experience* on page 24)

Knowledge Based Authentication

To provide additional security for your clients' tax return information, we provide the ability to require a Knowledge Based Authentication (KBA). KBA requires that the signer answer questions correctly before accessing documents. The questions are based on public records and credit history information that are likely known only to the signer.

While all e-file signature authorization form eSign requests require KBA, you can request KBA for other signatures by selecting the KBA option during the upload document process.

Receiving Email Notifications

The taxpayer and, if applicable, the spouse will each receive a notification email. The taxpayer and spouse are not required to sign in a particular order. They can be required to sign in a particular order for joint returns by editing a template with an additional step in the signing process.

The following is the default email notification sent for requesting signatures.

Dear PATRICIA BAKER,

Your 2016 income tax return is complete and ready for electronic filing. In order to e-file, we need you to review the return and sign the e-file Signature Authorization form(s).

For your convenience you may electronically sign the form(s) on a computer, tablet or smartphone. This method requires that you verify your identity to ensure the privacy of your confidential information.

To verify your identity you will be asked to answer 3 randomly generated questions from a third party based on information available through public records and credit reports. This information is not shared with anyone including the IRS. This dynamic knowledge-based authentication process is used by many financial institutions and government agencies as a means of fraud prevention and does not create a credit inquiry or affect your credit report.

Please click on “Begin Signing” below to proceed. If you choose not to electronically sign or have any questions regarding the return, please email me at esign admin@cpafirm.com.

Thank you.

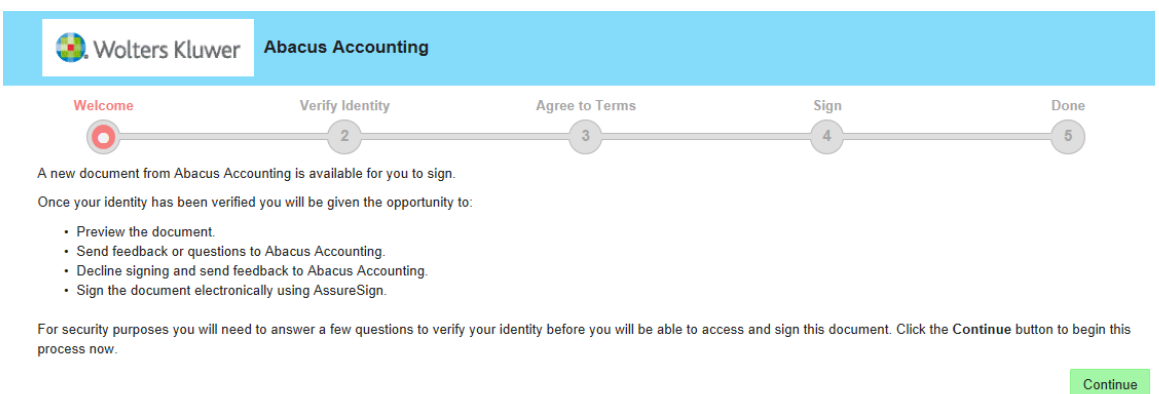
Paul Partner

CPA Firm – Tax Preparer
Begin Signing

Note: You can customize the email text according to your firm’s standards and branding. For more information about customizing emails, refer to *Chapter 9 - Customizing Email Notifications* on page 33.

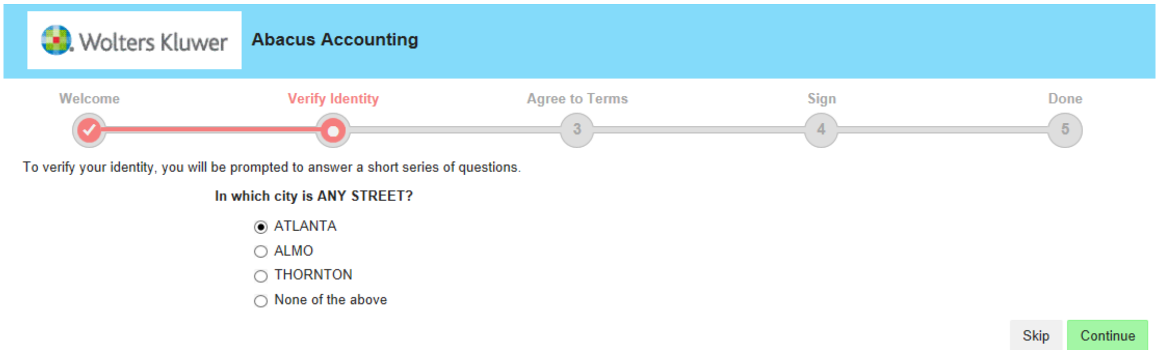
Beginning the Signing Process

The email contains a link to the AssureSign Web site. From the email, the signer clicks **Begin Signing** to open the Welcome page on the site. After reading the information, the signer clicks **Continue** to begin the signature process.



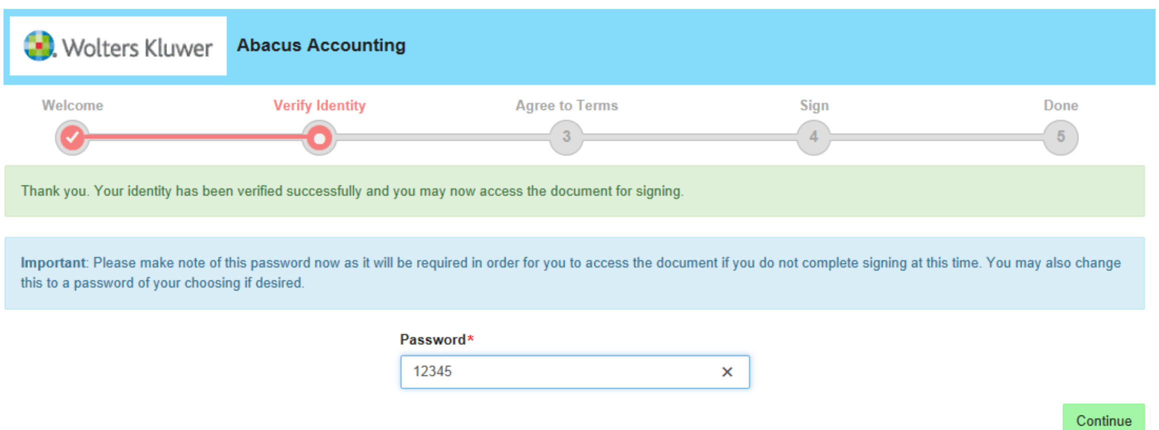
Providing Responses to KBA Questions

The signer will be prompted to answer the KBA questions. The signer can click **Skip** to go to the next question or click **Continue** after the appropriate selection is made. Signers are able to skip one question during the authentication process.



Providing a PIN

Once the signer successfully answers the KBA questions, a Signing Password is provided. This allows the signer to stop and re-start the signing process at a later time.

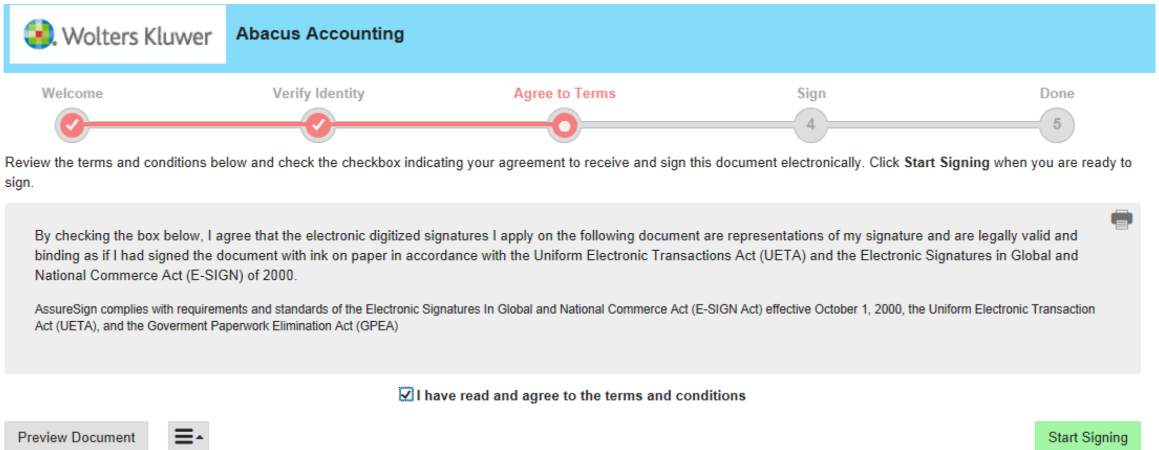


If the signer fails to respond with the correct responses, the document signing is canceled. The tax signer is notified by an email. The e-file signature authorization form must be resent to the taxpayer for another attempt to pass the KBA, and then eSign. After three failed attempts to pass the KBA, the IRS requires the taxpayer to manually sign the e-file signature authorization form.

Providing Consent per Requirements of the ESIGN Act

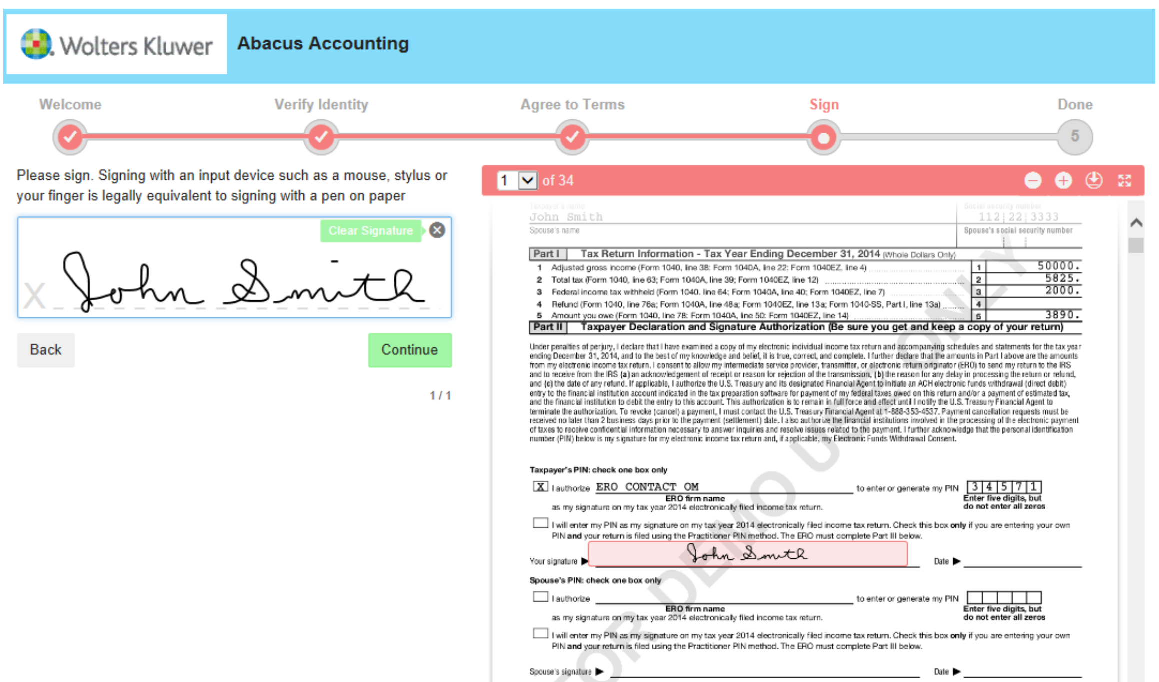
On the Sign Document tab, the signer reviews the agreement, selects **I have read and agree to the above terms and conditions**, and then clicks **Start Signing**.

During this step, the signer can also download a copy of the tax return for review, send feedback, and decline to sign. The signer can also select to continue at a later time by using the Options menu. If the signer sends feedback or declines to sign, an email is sent to the signer with the relevant information.



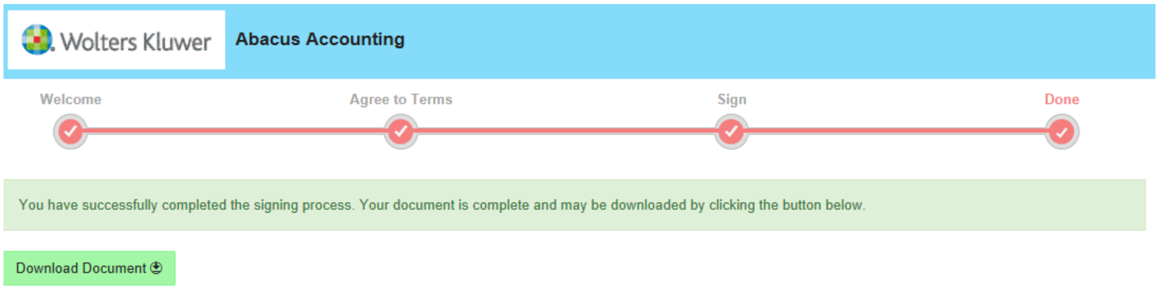
Providing a Signature

The signer can provide a signature using a mouse, stylus, or a touch pad, following the on-screen instructions to complete the signing.



Viewing Signed Documents

The Signer can view, print, or download the document immediately after signing by clicking **View Completed Document**.

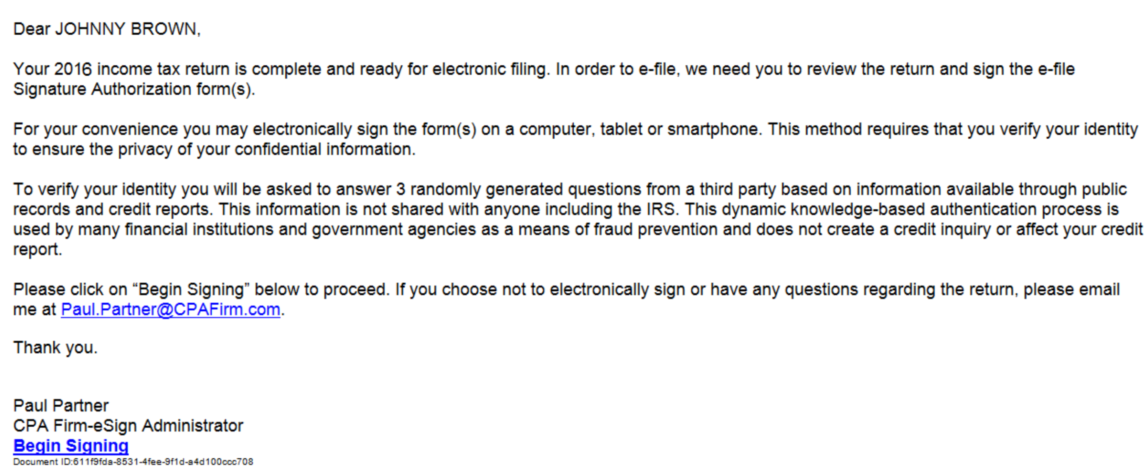


Both the signer and the sender will receive an email message with a link to the signed document. Access to the signed document is password protected.

Tip: The password is currently set as the last four digits of the primary taxpayer's SSN.

Sending Reminders

Reminders for eSign are sent weekly until the document is signed. An additional reminder is configured to be sent on April 12 in time for the April tax deadline.



Dear JOHNNY BROWN,

Your 2016 income tax return is complete and ready for electronic filing. In order to e-file, we need you to review the return and sign the e-file Signature Authorization form(s).

For your convenience you may electronically sign the form(s) on a computer, tablet or smartphone. This method requires that you verify your identity to ensure the privacy of your confidential information.

To verify your identity you will be asked to answer 3 randomly generated questions from a third party based on information available through public records and credit reports. This information is not shared with anyone including the IRS. This dynamic knowledge-based authentication process is used by many financial institutions and government agencies as a means of fraud prevention and does not create a credit inquiry or affect your credit report.

Please click on “Begin Signing” below to proceed. If you choose not to electronically sign or have any questions regarding the return, please email me at Paul.Partner@CPAFirm.com.

Thank you.

Paul Partner
CPA Firm-eSign Administrator
Begin Signing
Document ID:611f9fda-8531-4fee-9f1d-a4d100ccc708

If your client does not wish to provide eSign, you can cancel the document and stop any further reminders. Refer to *Chapter 10 - Managing Reminders* on page 38.

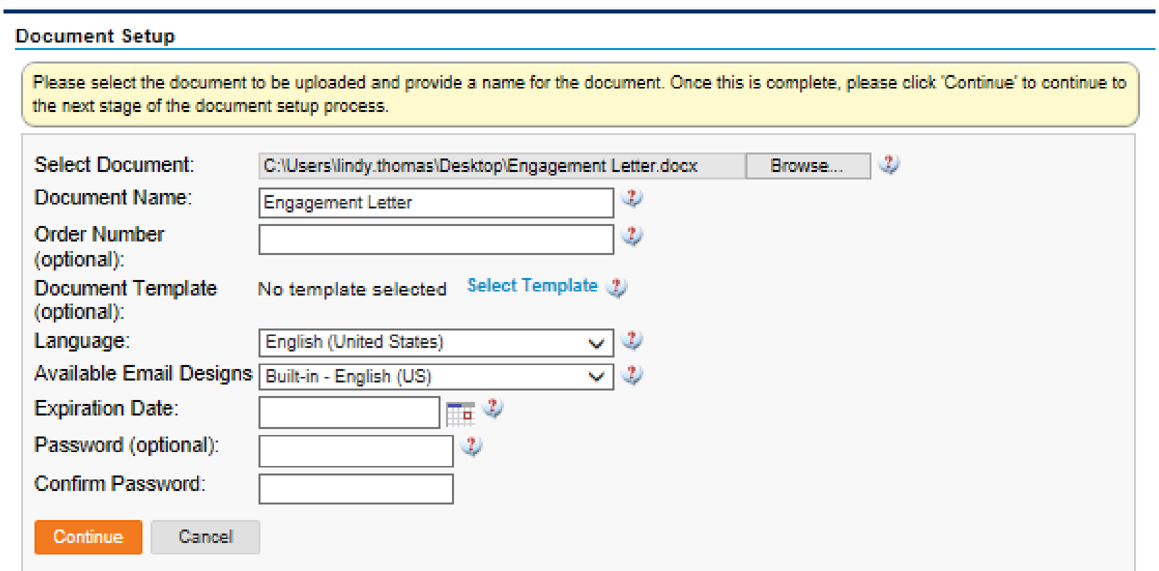
Chapter 6

Sending Other Documents and the Signer Experience

Sending Documents for eSign

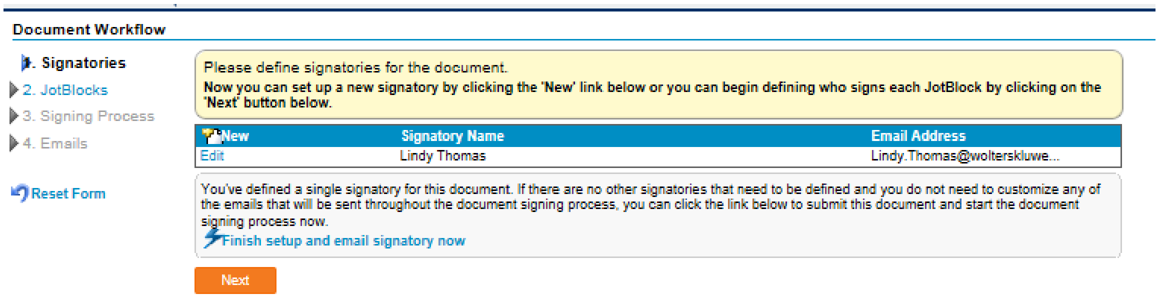
Use the following procedure to start sending documents:

1. Click the **Documents** tab in your eSign account.
2. Click **Upload a new document** or **Copy an existing document template**.
3. Click **Begin Setup**.
4. Click **Browse** to select the document.
5. Enter the required information.
6. Click **Continue** and follow the instructions on the subsequent screens to complete the upload.



Tips:

- Consider giving each document a unique name or order number to efficiently track, retrieve, or store the signed copy of the document.
- If there is only one signatory, you can skip the remaining document setup process by clicking **Finish setup and email signatory now**.



For additional information, refer to the AssureSign Knowledge Base.

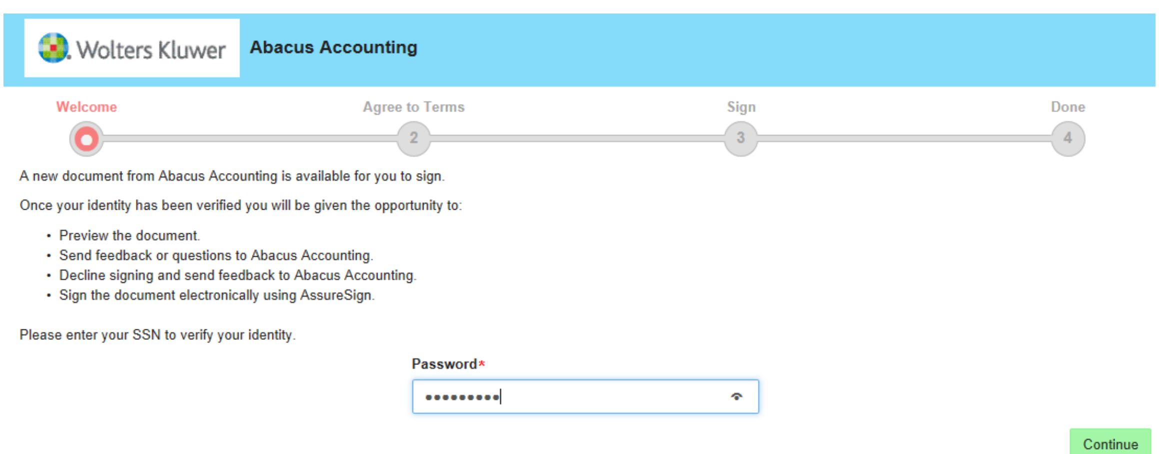
Shared Secret Approach

When uploading a document, you can specify the password that signers must provide before opening documents sent to them for eSign. We recommend setting the password to confidential information that is shared between the signer and the taxpayer. This eliminates the need to communicate the password separately to the signer.

Example. A Social Security Number or date of birth can be used as a prompt during the signing process.

Signer Experience

Below is a sample screen that the signer will see when providing password authentication to access the document. In the following example, the SSN is used as the password. A different confidential value can be used to prompt for the password, depending on the preference of the sender.



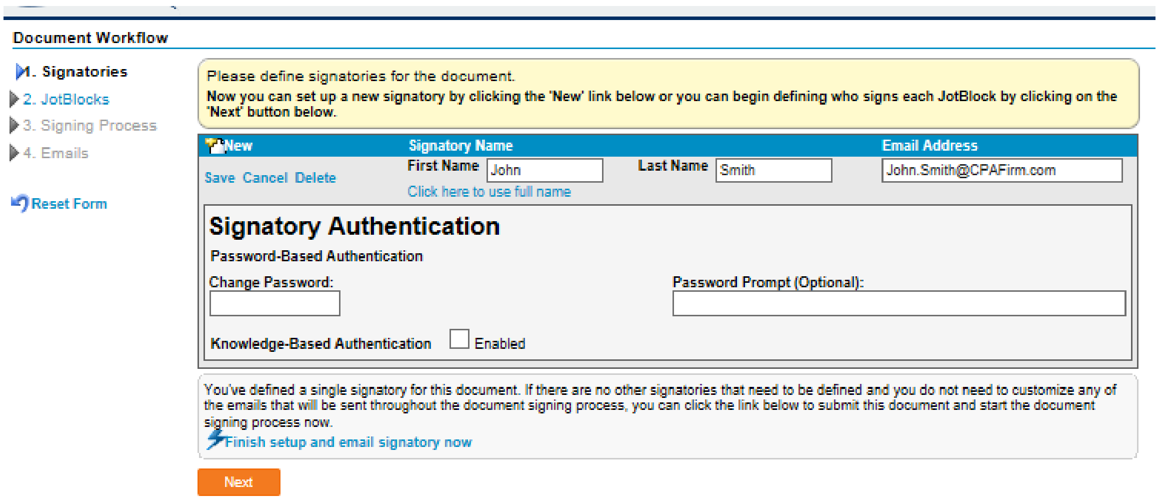
Setting up the Password

The password can be configured:

- In the document template (see *Chapter 8 - Using Document Templates* on page 31)
- When uploading the document for eSign

Setting up Passwords when Uploading the Document

If you are uploading the document using the Web application in your eSign account, you can set up password-based authentication when you are setting up the signatories for the document.



For more information regarding authentication, refer to the AssureSign Knowledge Base. If you have additional questions, contact Customer Support at https://support.cch.com/ticket/.

Receiving Email Notifications

Once you send a request for eSign, signers receive an email notification that provides a link to complete the signature process. The following is a sample email that signers will receive:

Dear John Smith,

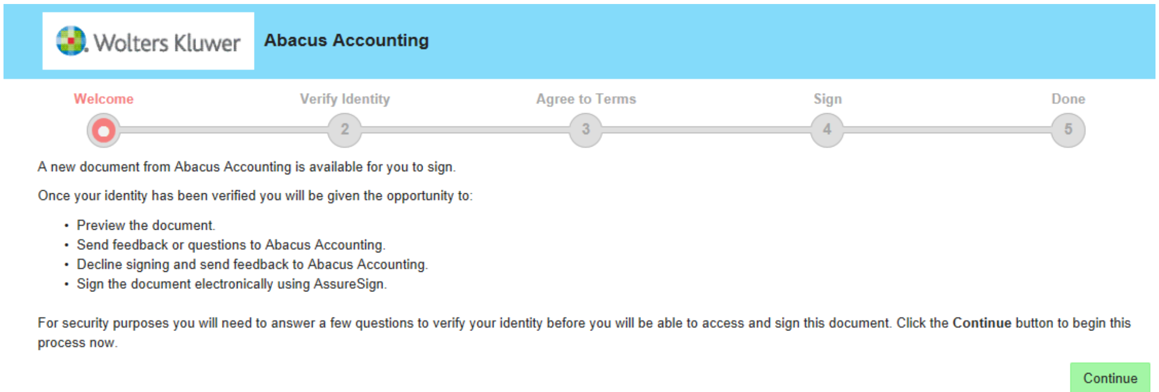
You have been invited by Superior CPA Firm – Paul Partner to sign or provide input on an AssureSign document. Please click "Begin Signing" to begin this process.

Begin Signing

Note: You can customize the email text according to your firm's standards and branding. For more information about customizing emails, refer to *Chapter 9 - Customizing Email Notifications* on page 33.

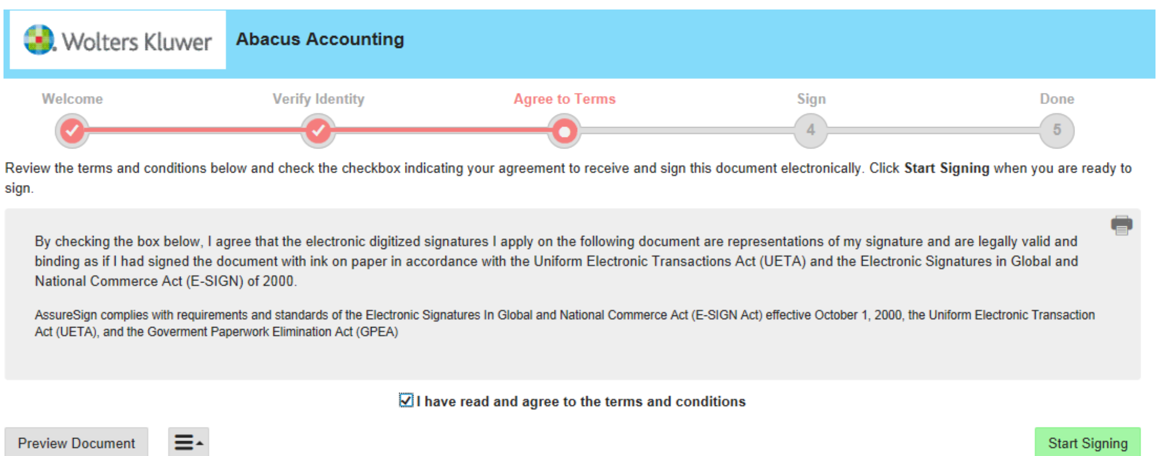
Beginning the Signing Process

The notification email contains a link to the AssureSign Web site. From the email, the signer clicks **Begin Signing** to open the Welcome page. After reading the information, the signer clicks **Continue** to begin the signature process.



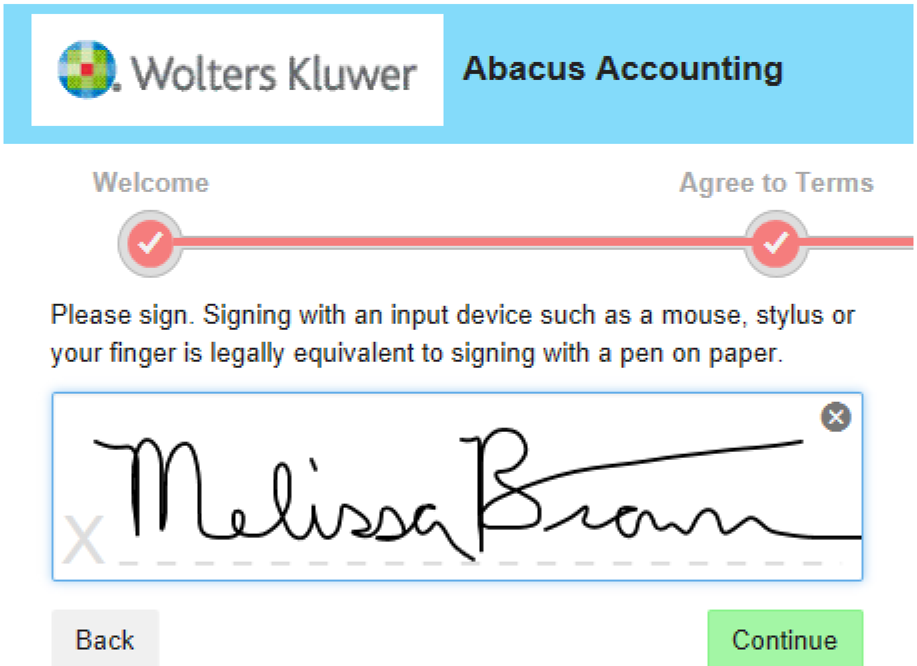
Providing Consent per Requirements of the ESIGN Act

On the Sign Document tab, the signer reviews the agreement, selects **I have read and agree to the above terms and conditions**, and then clicks **Start Signing**.



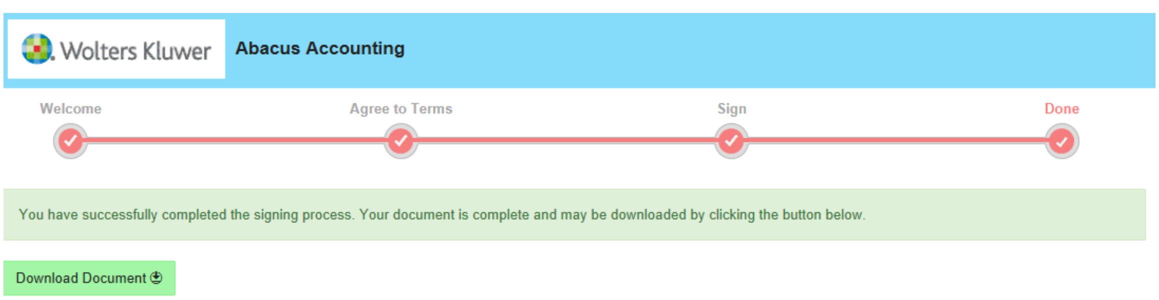
Providing a Signature

The signer can provide a signature using a mouse, stylus, or a touch pad and follows the on-screen instructions to complete the signature.



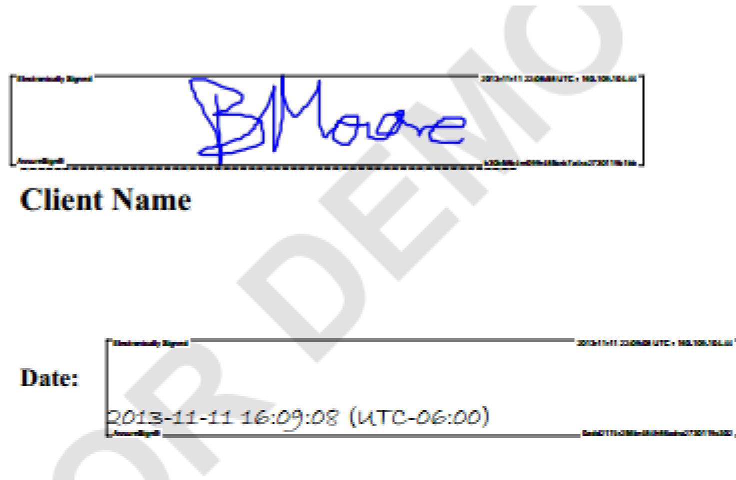
Viewing Signed Documents

The Signer can view, print, or download the document immediately after signing by clicking **View Completed Document.**



Expanded View of Signature and Date

Below is an expanded view of how the signature appears in the document. The date and time of the completed signature is automatically appended to the document.



Linking to the Signed Document

A confirmation email is sent to the signer that includes a link to review or download signed documents.

Dear Paul Partner,

Document Signing has been completed. Please click “View Document” to view or download the final signed copy of the document.

View Document

Sending Reminders

If the recipient of your eSign request does not provide a signature, CCH eSign allows you to configure automated emails that are sent on a periodic basis. You can also send reminders at any time to remind the signatory. For more information on reminders, refer to *Chapter 10 - Managing Reminders* on page 38.

Note: You can customize the email text according to your firm’s standards and branding. For more information about customizing emails, refer to *Chapter 9 - Customizing Email Notifications* on page 33.

Chapter 7

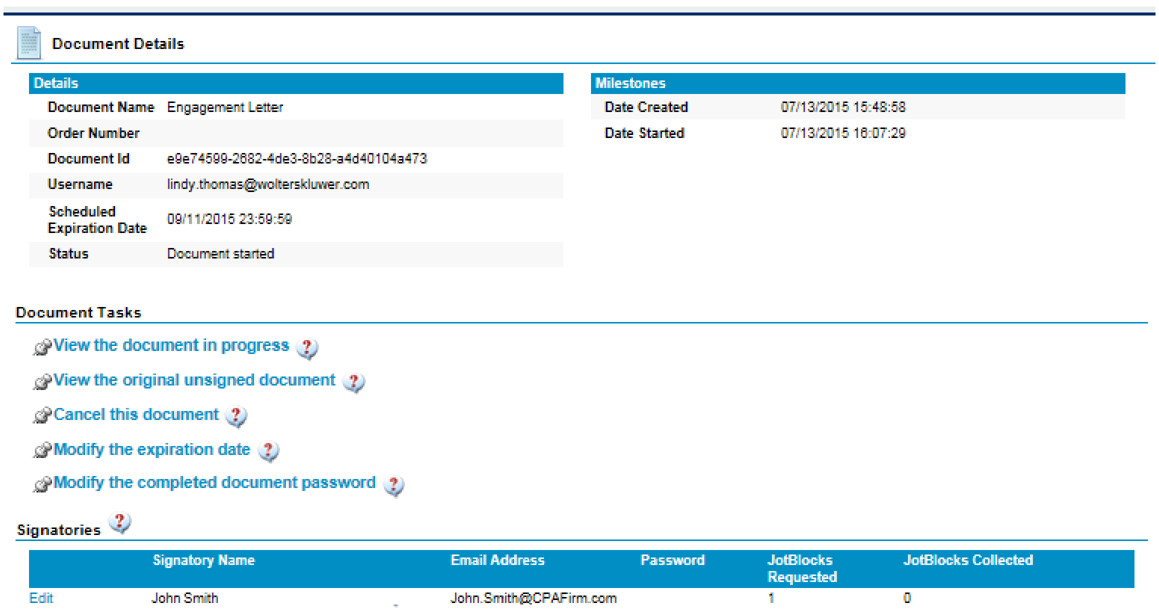
Document Management Functions

Once a document has been sent for eSign, you can do the following:

- View the document
- Cancel the document
- Modify the password to view the completed document
- Modify the recipient's email addresses

In your eSign account, do the following:

1. Navigate to **Reports > Document Search**.
2. Enter the date or other criteria for the search.
3. Select the document by clicking the **Document Name**.
4. Select the desired tasks under Document Tasks and follow the on-screen instructions.
5. To modify the recipient's email addresses, click **Edit** under Signatories.



Chapter 8

USING DOCUMENT TEMPLATES

You can send a document for eSign without the use of a document template; however, templates can simplify customization of your eSign process. Templates are required when sending the following:

- Bulk transmissions using the Send to AssureSign (desktop application)
- Tax documents from CCH Axcess™ Tax
- Documents from your CRM applications (Salesforce.com® or Microsoft Dynamics®)
- Custom development using AssureSign API

Document templates allow you to do the following:

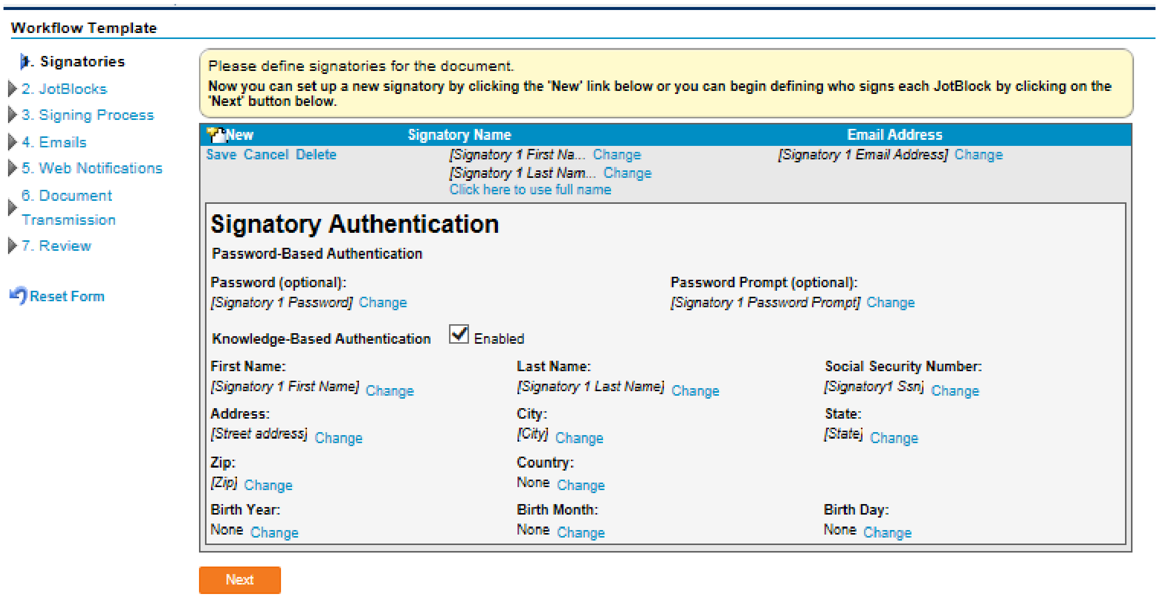
- Customize the content of your document
- Provide input areas for the signer
- Define number of signatories
- Define placement of the signature and order of signatures
- Configure notifications and reminders

Templates can define custom content (for example, Sec 7216 consent), or they can define the workflow of the signature process when documents do not have standardized content.

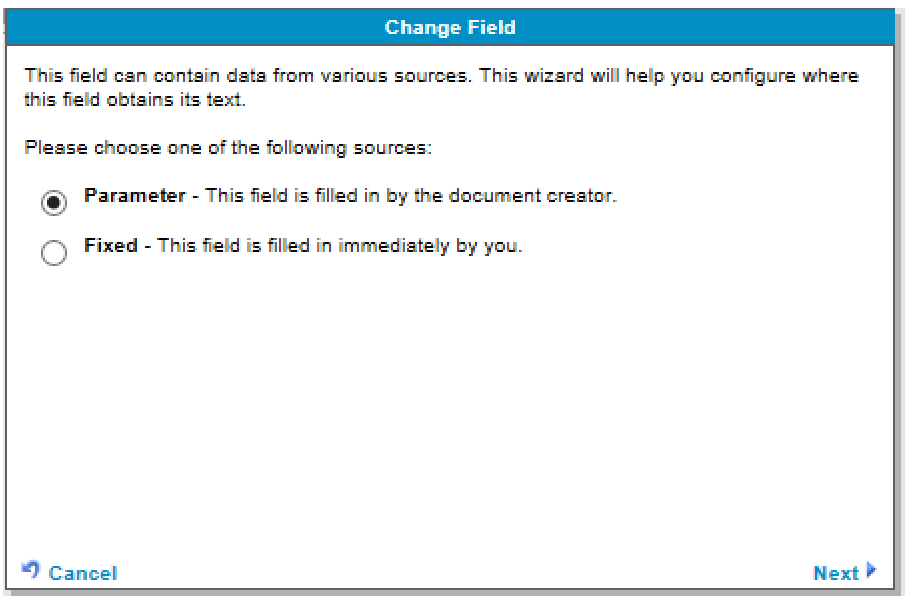
Note: If you are creating a custom template to manage e-file signature authorization form email notifications, refer to the section *Modifying eSign Email Designs* on page 34.

Setting up Passwords in the Document Template

Passwords can be set up at each signatory level when defining signatories in a document template. To set up a password, click **Change** beside *Password (optional)* when editing the workflow template on the Signatories window.



A wizard opens to guide you through the password set up process.



For more information on creating, importing, and modifying templates, refer to the [AssureSign Knowledge Base](). If you have additional questions, contact Customer Support at https://support.cch.com/contact/.

Chapter 9

Customizing Email Notifications

The following two types of notifications are used in the eSign process:

- Email notifications
- DocumentTRAK™

Email notifications are event-based emails sent to inform the signatories or the sender of the status of documents. This chapter explains the process of configuring and customizing email notifications. DocumentTRAK™ notifications are Web communications sent from AssureSign to the configured servers. DocumentTRAK™ is explained in *Chapter 11 - Tracking and Reporting Options* on page 42.

Your eSign account comes with a set of default email designs that are configured for sending emails to the appropriate parties based on the events in the signing process. For example, there is an email design that requests your client provide a signature and another email design to inform the sender that the document has been signed.

In your eSign account, navigate to Administration > Notifications > Email. The following email designs are available for selection in your document template.

New	Email Design Name	Email Design Set
Copy Preview	Authentication failed	Built-in - English (US)
Copy Preview	Before signing step - Originator	Built-in - English (US)
Copy Preview	Document available to sign	Built-in - English (US)
Copy Preview	Document cancelled	Built-in - English (US)
Copy Preview	Document completed	Built-in - English (US)
Copy Preview	Document declined	Built-in - English (US)
Copy Preview	Document expired	Built-in - English (US)
Copy Preview	Document expired - Originator	Built-in - English (US)
Copy Preview	Document feedback submitted	Built-in - English (US)
Copy Preview	Document pre-expiration warning	Built-in - English (US)
Copy Preview	Document pre-expiration warning - Originator	Built-in - English (US)
Copy Preview	Envelope feedback submitted	Built-in - English (US)
Copy Preview	Signing step completed	Built-in - English (US)

These default email designs cannot be changed. To customize emails, make a copy of the appropriate default email design, and then click **Edit** to make modifications. You can customize the text in the emails per your firm's standards, add branding, or create additional notifications relevant to the type of document you are sending.

Tips:

- If you expect to make several modifications to the default templates, consider creating an email design set to group your custom email designs.
- You can specify an email design set when creating document templates. This helps to filter the relevant email designs for the document template.
- If you expect most of your documents to follow the same email design set, you can set the email design set as a default.
- For additional information on creating or modifying an email design and using email sets, refer to AssureSign Knowledge Base. If you have additional questions, contact Customer Support at https://support.cch.com/contact/.

Modifying eSign Email Designs

Modifying eSign email designs is a three-step process.

1. Import eSign templates.
2. Edit eSign email designs.
3. Associate custom templates with the appropriate return types in CCH Axcess™ using *Firm > Settings and defaults*.

Importing eSign Templates

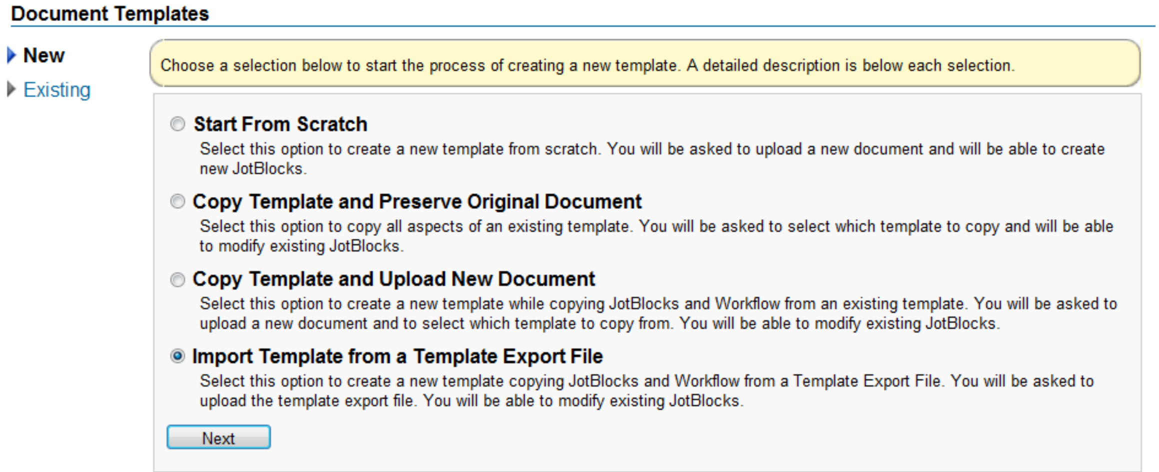
Templates provide a starting point for customizing your email notifications. The following templates can be downloaded from the Customer Support site:

- **Single.adt**. Used when sending single returns from CCH Axcess Tax.
- **Joint.adt**. Used when sending joint returns from CCH Axcess Tax.

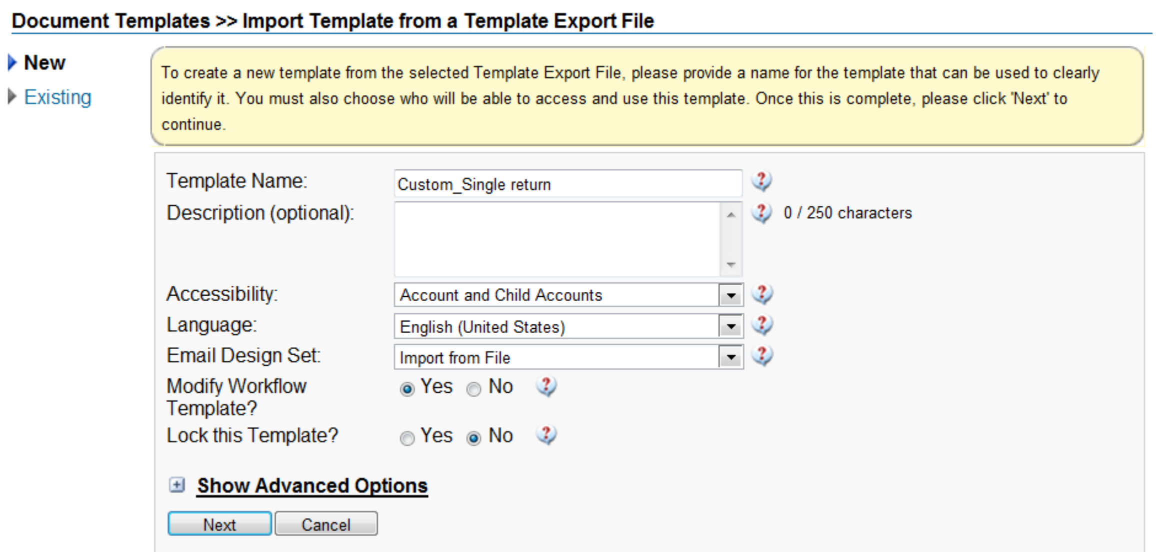
Perform the following steps to import the templates:

1. In your eSign account, click the **Templates** tab.
2. Click **New**.

3. Select **Import Template from a Template Export File**.



4. Click **Next**.
5. Select the appropriate .adt file.
6. Rename the template.
7. Select **Account and Child Accounts** from the Accessibility list.



8. Complete the process by clicking **Next** on each of the screens.

   Warning! Do not change any settings during this process.

9. Click **Finish** to complete the import.

Editing eSign Email Designs

After you import eSign templates, the following email designs are available. Navigate to Administration > Notifications > Email and click **Edit** to open the email design. Save your edits.

Edit Copy Preview	1_CCH-8879 Available for e-Sign_Single	CCH-8879
Edit Copy Preview	2_CCH-8879 Available for e-Sign_Joint	CCH-8879
Edit Copy Preview	3_CCH-8879 Sent confirmation to preparer	CCH-8879
Edit Copy Preview	4_CCH-8879 Reminders	CCH-8879
Edit Copy Preview	5_CCH-8879 Reminder 4/15	CCH-8879
Edit Copy Preview	6a_CCH-8879 Signature complete	CCH-8879
Edit Copy Preview	6b_CCH-8879 Signature complete to preparer	CCH-8879
Edit Copy Preview	7_CCH-8879 Declined esign	CCH-8879
Edit Copy Preview	8_CCH-8879 Authentication failed	CCH-8879
Edit Copy Preview	9_CCH-Document feedback submitted	CCH-8879

Associating Custom Templates to Return Types

1. Open Dashboard, click **Application Links** on the navigation panel, and then click **Settings and defaults** under Firm.
2. Click **eSign** on the Firm navigation panel.
3. Select a custom template for the return type from a list in the grid, and then click **OK**.

Warning! Your custom template must be set up with Account and Child Account accessibility for the custom template to be available in Firm settings and defaults. See Step 7 in Importing eSign Templates.

Using Merge Fields

Merge fields can be used to automatically populate email notifications with information, such as names, phone number, and email addresses, that are entered in eSign documents. In addition to the customization features available in the default email designs, for all eSign templates, the following template-specific merge fields are available to add to email design text:

Firm Name	Preparer Phone	ERO Phone
Firm Phone	Account Number	ERO Email Address
Preparer Name <see the following warning>	Client ID	Return ID
Preparer Email Address	ERO Name	

To use a merge field, enclose the merge field text in square brackets. This marks the text as *merge field information* and it will function as a formula field in the subject or body of the email.

Example: The signer's phone number and email address in the following statement will populate with text from the specific document:

"If you choose not to eSign, or have any questions regarding the return, please contact me at [Preparer Phone] or email me at [Preparer Email Address]."

Warning! Default eSign e-file signature authorization form email notifications use a merge field for Preparer Name. If you do not want the email notifications to display the preparer name, remove the Preparer Name field from the email notification following the steps for *Modifying eSign Email Designs* on page 34.

For more information about merge fields, refer to the AssureSign Knowledge Base. If you have additional questions, contact Customer Support at https://support.cch.com/contact/.

Chapter 10

Managing Reminders

Reminders are automatically sent when documents are not signed by all signatories. Reminders are associated with the document's expiration date and are sent a configurable number of days prior to the expiration date.

The text of the reminder email and the frequency of the reminder can be configured:

- For the entire eSign account
- For an account template
- On a document-by-document basis

It is possible to resend previously sent reminders or create new reminders, as needed.

Configuring Reminders for the eSign Account

In your eSign account, do the following:

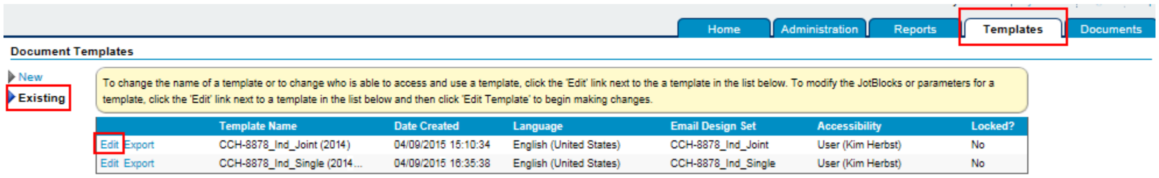
1. Go to **Administration** > **Settings** > **Document Preferences**.
2. Click **Edit** beside *Default Number of Days until Document Expiration* and *Default Expiration Warning Period* to change the number of days, as appropriate. If your default number of days until document expiration is set to 60 and the default expiration warning period is set to 7, all documents will expire and will no longer be available for eSign 60 days after creation. A reminder will be sent seven days prior to the expiration date.

All Document Preferences settings can be overridden and additional reminders can be added at the account template level (see *Chapter 8 - Using Document Templates* on page 31) or when sending the document.

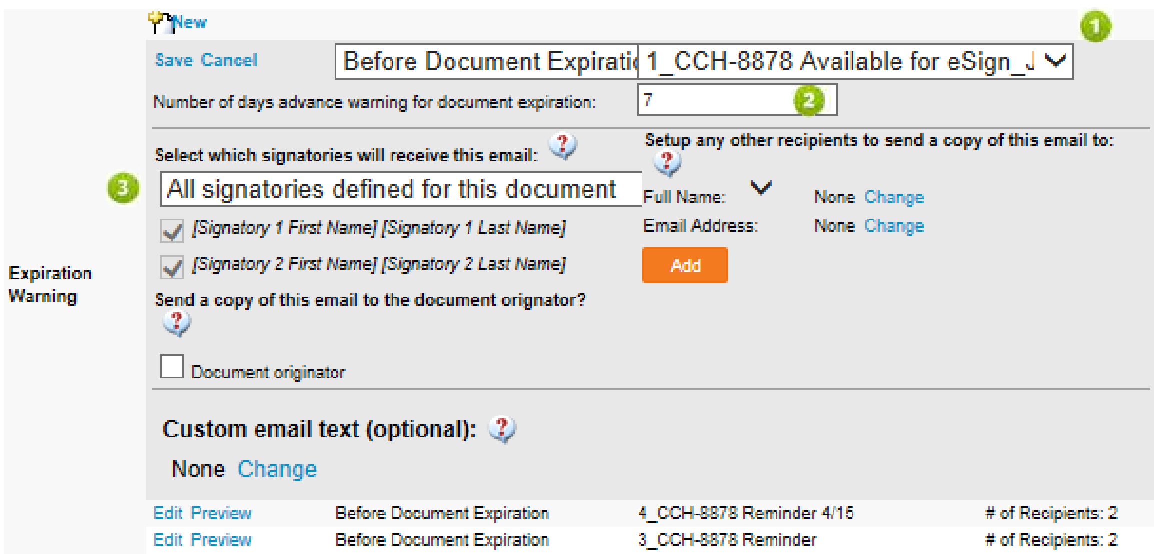
Configuring Reminders for a Document Template

Reminders are defined when configuring emails for a document template. To manage reminders for an existing template, do the following:

1. In your eSign account, click the **Templates** tab, click **Existing**, and then click **Edit** to change an existing template.



2. On the Edit template screen, click **Edit Workflow**, and then click **Emails**.
3. Click **New** next to the Expiration Warning section.
4. Specify the email design (1), the schedule for the reminder (2), and the signatories (3).



5. Click **Save**.

Configuring Reminders When Sending the Document

When sending the document through the Web, you can set reminders on the Email tab. To add reminder emails, follow the steps in the previous section, *Configuring Reminders for a Document Template*. If you are sending the documents using the Web application, the reminders are based on the document template selected.

Sending Ad Hoc Reminders and Resending a Previous Reminder

You can resend previously sent reminders or send reminders on an ad hoc basis through the Document Details report. In your eSign account, select the **Reports** tab, and then select **Document Search**. From the search results, select the document for which you want to send a reminder or resend a previously sent reminder. Select **Expiration Warning** on the navigation panel.

You can do the following:

- Create a new reminder by clicking **New**.
- Select **Resend** to send a previously sent reminder.

Note: When resending or creating a new reminder, you have the ability to send to a new email address or modify existing recipients. You can edit the notification recipients and email addresses in the Signatories section of Document Details. See *Chapter 7 - Document Management Functions* on page 30 for more information.

Turning Off Reminders

If the signatories select the decline button during the signing process, reminders are turned off. Reminders are also turned off when the document is canceled. To cancel a document see *Chapter 7 - Document Management Functions* on page 30.

Reminders for e-file Signature Authorization Form Documents

E-file signature authorization form reminders are configured to be sent weekly as per the schedule below. An additional reminder has been configured to be sent on April 12 to remind signatories of the upcoming tax deadline.

3-Feb	31-Mar	19-May	14-Jul	8-Sep
10-Feb	7-Apr	26-May	21-Jul	15-Sep
17-Feb	12-Apr	2-Jun	28-Jul	22-Sep
24-Feb	14-Apr	9-Jun	4-Aug	29-Sep
3-Mar	21-Apr	16-Jun	11-Aug	6-Oct
10-Mar	28-Apr	23-Jun	18-Aug	13-Oct
17-Mar	5-May	30-Jun	25-Aug	
24-Mar	12-May	7-Jul	1-Sep	

Based on this schedule, if you send an e-file signature authorization form document for eSign on March 15, the signatories will receive a weekly reminder starting March 17 until all signatories have signed the document. The document will not be available for eSign after October 20.

For e-file signature authorization form documents sent after October 20, a weekly reminder will be sent to all signatories or until the document expires (after 60 days).

For customizing the pre-configured reminders for the e-file signature authorization form documents, see *Chapter 9 - Customizing Email Notifications* on page 33 and *Configuring Reminders for a Document Template* on page 39.

Chapter 11

Tracking and Reporting Options

Documents sent for eSign can be tracked using the following:

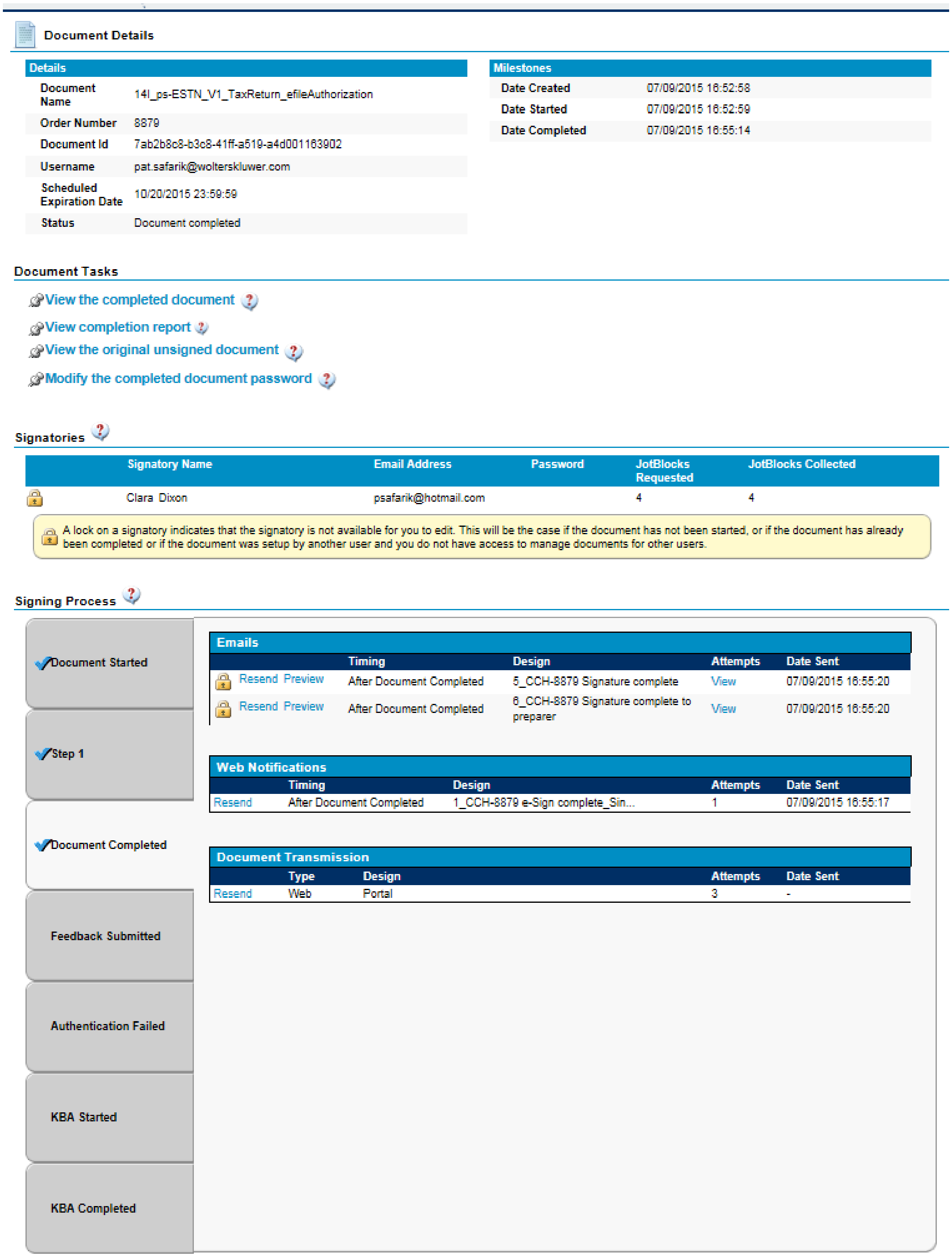
- AssureSign Document Search and DocumentSearch/Document Details
- DocumentTRAK™
- Electronic Filing Status system

Document Search/Document Details

All documents sent for eSign can be tracked from transaction reports that are available on the Reports tab in your eSign account.

1. Click the **Reports** tab.
2. From the list of available reports, click **Document Search**.
3. Select the **From** and **To** periods from the Creation Date lists.
4. Click **Submit**. A list of documents and their eSign status display for the Creation Date range selected.

5. Click a document in the *Document Name* column to view the details.



You have the ability to use the document management functions discussed in the previous chapter. You can view the Document History, which lists time stamps for each step of the process and tells you when each notification email was sent. You can also modify, preview, and resend emails using the Signing Process, which lists every email associated to each step.

Note: You can delete or modify reminders for a particular e-file signature authorization form sent for eSign.

DocumentTRAK™

DocumentTRAK™ allows you to integrate your status tracking of eSign documents with your firm's process. Tracking information is sent via Web notifications to a URL that you define. For more information about using DocumentTRAK™, refer to AssureSign Knowledge Base.

Electronic Filing Status System (EFS)

EFS is configured to reflect the status of your eSign documents. Refer to *Tracking eSign Status in the Electronic Filing Status System* on page 15.

Chapter 12

Frequently Asked Questions

- **Question**: Do I need to enter a separate email address for the spouse when sending the e-file signature authorization forms for eSign? Can it be the same email address I have used for the taxpayer?

  Answer: You must use separate email addresses for the spouse and the taxpayer.

- **Question**: Are there any restrictions on the size of the file I can send to AssureSign?

  Answer: The file size cannot exceed 20 MB or 2,000 pages. In addition, there are restrictions when sending documents to the application. Refer to DocumentNOW® API documentation in the AssureSign Knowledge Base.

- **Question**: Will PDF attachments in the return be included in the CCH eSign package?

  Answer: Yes. In addition to the e-file signature authorization forms (included as the first pages), the client copy of the return, and any requested filing instruction, the CCH eSign package also includes any user attached PDFs.

- **Question**: If I use eSign for my Federal return, can I use it for my state returns as well?

  Answer: If your state approves the use of eSign, the state return will automatically be included in the eSign copy. For states that have not yet approved eSign, you can send only the federal copy of the return for eSign. You must deactivate electronic filing for unapproved states and export the federal return and any approved states. Clearing unapproved states during the export process alone does not enable the eSign option. See *Appendix A - Status of State eSign Approval of Authorization Forms* on page 51 for more information.

- **Question**: If I enter the wrong email address for the signatory, how will I know? Will I need to resend the document?

  Answer: If you enter a non-existent email address, a bounced email notification is sent to the sender's email address. You must correct the email address and resend the document.

  In case of a wrong email address, you are not required to resend the document. You can modify the signatory email address by opening the Document Details report and modifying the recipient email address. If for an e-file signature authorization form specifically, we recommend that the email address be changed within the return to prevent future issues. Then, you must resend the document.

- **Question**: What is the cost of sending returns and other documents for eSign?

  Answer: For current pricing, please refer to our price catalog or call us at 800-739-9998, Option 1, Option 1.

- **Question**: Why is the eSign option not highlighted when I go to export the return?

  Answer: Check the states that are included in the return. If a state that is not allowed for eSign is included in the export and the *Enable eSign if state returns do not qualify* option is not selected in the return configuration set, the eSign option is disabled. You must deactivate electronic filing for that state in the return, export the federal return (as well as any allowed states), and then export the disallowed states separately. If the check box is still not highlighted, check the following location and verify that the Setup Status is marked Complete:

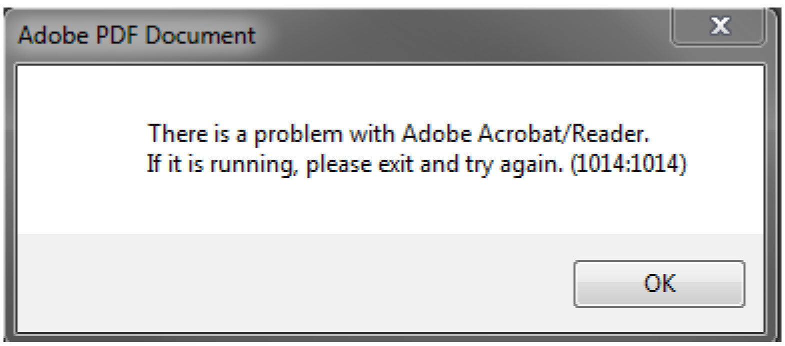
  Dashboard > Application Links > Settings and defaults > eSign

  If Setup Status is marked Complete, verify the Send for eSign option is activated in the return configuration set. If not set up, check EF-1 Box 58 (General > Electronic Filing > Line 32) to see if the option has been manually selected in the return.

  If so, verify an email address is entered in Form 2, Box 98. If the return is Married filing jointly, verify different email addresses are entered for the taxpayer and spouse in Boxes 98 and 99 (General > Basic Data > Line 26).

  Also verify the signer email address entered on Form 3, Box 48 (General > Return Options > Section 6 > Line 19) or EF-2, Box 46 (General > Electronic Filing > Section 4 > Line 17) is the same as the email address that is set up in the eSign account for that signer.

- **Question**: How do I get past the following error message so I can review the document?

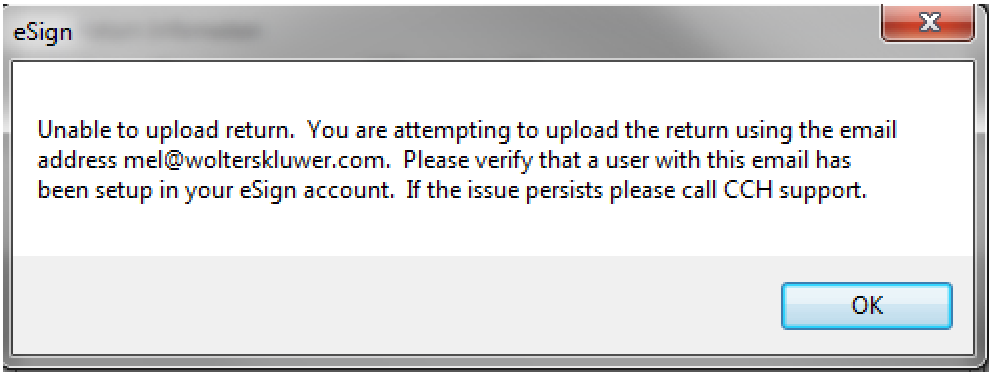
  

  Answer: You must close all Internet browser windows and try again. Sometimes this requires Task Manager to end processes.

- **Question**: How can I change the time zone in AssureSign to match the time zone in which I work?

  Answer: In your eSign account, navigate to My Profile > Preferences > Account Information > Time Zone and select the applicable time zone from the menu.

- **Question**: Why do I keep getting the following error message when I try to send a return for eSign?

  Answer: Log in to your eSign account, click the **Administration** tab, and then view the list of users to ensure that the signer email address in AssureSign matches the signer email address entered in the return. If the signer is not listed, add the signer to the eSign account and try again.

- **Question**: Are there circumstances in which completing a KBA is not possible and, if so, what can I do?

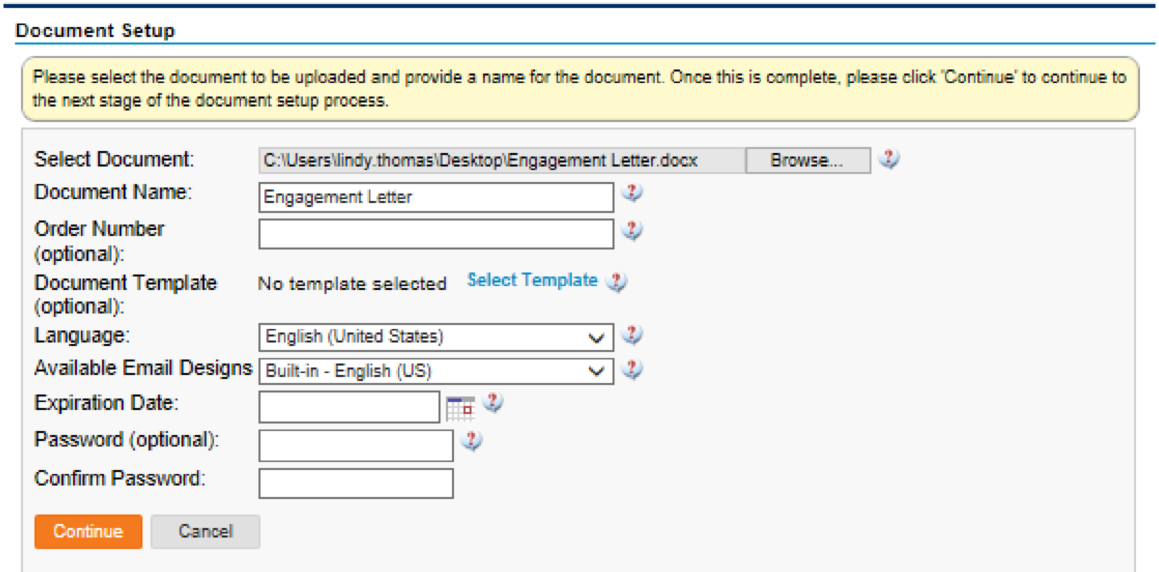
  Answer: Yes, there are. The main reason that would prevent an individual from being able to successfully complete the KBA is a lack of available information. KBA utilizes information similar to what would appear if you were checking your credit report. If you have little credit history, there might not be sufficient information to generate enough questions for KBA. This possibility might include younger individuals, newly married individuals, and recent immigrants. If there is not enough information to generate a KBA, or if the KBA fails, the client must manually sign the e-file signature authorization form and return it to the signer.

- **Question**: If I select the Publish to Portal option when sending a return for eSign, what happens if I also manually add the e-file signature authorization form to the portal?

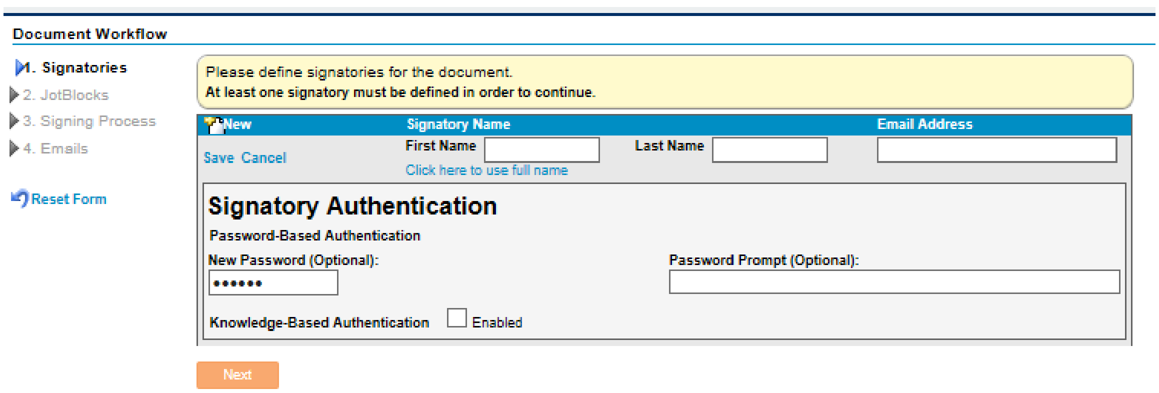
  Answer: There will then be two separate copies of the e-file signature authorization form on the portal. One will not overwrite the other since they came from different locations.

- **Question**: What is the purpose of the passwords in the document set up stage of sending documents through AssureSign?

  Answer: They are used when the signer or client views the completed document. You will not be prompted to enter the password until the document has been signed by all signatories and you attempt to view the completed document from the link sent in the completion email.



If you subsequently enter another password in the Document Workflow step, this password will not replace the password you previously entered in the Document Setup step as they are used for two separate parts of the signing process. This password is equivalent to the KBA in that it must be entered before signing the document and is referred to as the Shared Secret Approach.



- **Question**: Why does the return that I sent for eSign not display on the Release Returns tab of the Electronic Filing Status system (EFS)?

  Answer: If the e-file signature authorization form has not been electronically signed or if a date has not been manually entered in the Signature Form-Received column on the EFS site, it is not available for release. A date must flow automatically (blue ink) or be manually entered (black ink) in the Signature Form-Received column before it will display on the Release Returns tab.
- **Question**: What happens if the *Suppress printing of all forms during export* option is selected when I try to send a return for eSign?
- **Answer**: If you have the option selected in either of the following locations, you will not be able to send the return for eSign:

    - EF-1, Box 42 or General > Electronic Filing > Line 23
    - Return configuration set > Electronic Filing Options
- **Question**: What happens if I fail the KBA?
- **Answer**: If you fail the KBA, you will have two additional attempts. If you fail the KBA three times, you will not be able to eSign the return and must manually sign for that tax year.
- **Question**: Is there a way I can change my account settings so my username is not locked after three failed attempts to log in?

  Answer: Yes. The AssureSign administrator can log in to their eSign account and navigate to the Administration tab > Settings > Security Preferences > Automatic Lockout after Bad Password Attempts. The amount of failed attempts can be changed to a number between three and six. The feature can also be deactivated; however, we recommend that you set a failed attempt limit between three and six.

  Note: This is also a requirement for certain security compliance standards, such as PCI (Payment Card Industry). While AssureSign is not a payment card processor, they have provided PCI level settings to provide an easy template for you to set security settings at a PCI suggested standard level.

  To select PCI for your security settings, navigate to the Administration tab > Settings> Security > Security Strength and select the **PCI** option. The rest of the security preferences will change accordingly.
- **Question**: When my client electronically signs the e-file signature authorization form and I receive the notification email that the e-file authorization copy is ready for download, I click the View Document link and then must enter a password to access the document. What password should I enter?

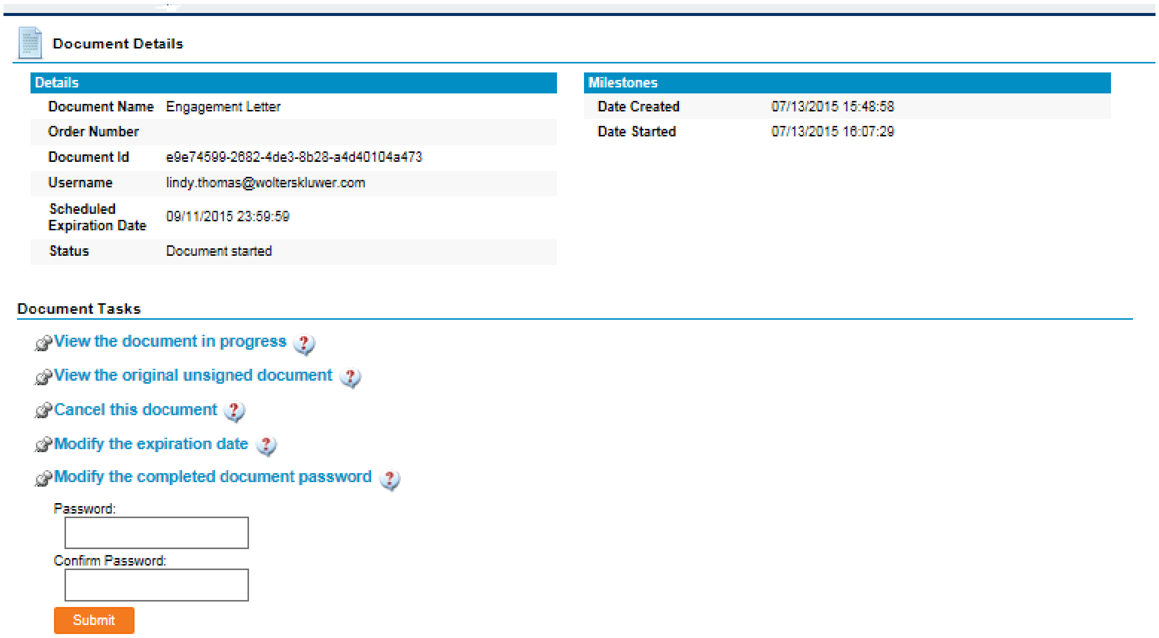
  Answer: This password automatically defaults to the last four digits on the primary taxpayer's Social Security Number. The notification email that contains the View Document link alerts you to this.

  Dear John Smith,

  Document signing has been completed. Please click "View Document" to view or download the final signed copy of the document. Enter the last 4 digits of the primary taxpayer's SSN to open the document.

  View Document

  For an e-file signature authorization form sent for eSign, the last four digits of the SSN will be the password to enter on this screen unless you edited the completed document password prior to your client signing. Navigate to Reports > Document Search > (enter applicable date range) then click **Submit**. Find the file in question (which will be titled (tax year)(tax product)_(name of return)(version number)_TaxReturn_efileAuthorization). If the document is not yet completed, you can change the password by clicking the specific document name, navigating to Document Tasks, and clicking **Modify the completed document password**. If you entered a new password here, that is the password you need to enter. The email will still instruct you to use the last four digits of the SSN unless you also edited the wording for that particular email. The recommendation is to use the default and not modify the completed document password for e-file signature authorization forms.



Appendix A

Status of State eSign Approval of Authorization Forms

States That Allow Electronic Signature or do not Require a Signature or Filing

Electronic Signature Allowed	State Signature Document Not Required	No Individual Income Tax Return States
Alabama	Connecticut	Alaska
Arizona	Hawaii	Florida
Arkansas	Idaho	Nevada
California	Kansas	South Dakota
Colorado	Maine	Washington
Delaware	Minnesota	Wyoming
District of Columbia	Montana	
Georgia	Nebraska	
Illinois	New Hampshire	
Indiana	North Carolina	
Iowa	North Dakota	
Kentucky	Ohio	
Louisiana*	Rhode Island	
Maryland	Tennessee	

Electronic Signature Allowed	State Signature Document Not Required	No Individual Income Tax Return States
Massachusetts	Texas	
Michigan	Utah	
Mississippi	Wisconsin	
Missouri		
New Jersey		
New Mexico		
New York		
Oklahoma		
Oregon		
Pennsylvania		
South Carolina		
Vermont		
Virginia		
West Virginia*		

***States with Conditions**

- **Louisiana.** Not allowed for non-resident returns or when filing as state-only
- **West Virginia.** Not allowed when filing as state-only

Appendix B

Send to AssureSign Desktop Application

Adding Files

You can add files in the following ways:

- Add PDF files by clicking **Add** in the top-left corner, and then clicking **From File**.
- Add templates that you have already created in your eSign account by clicking **Add**, and then clicking **From Template**.
- Use the print driver that was installed with the desktop application to add Word documents. To do so, open the Word document, click **File**, and then click **Print**. Change the printer to Send to AssureSign and click **Print**. This will only send the document to the desktop application.

Bulk Send

To send the same document to multiple recipients, you will first need a template using that document set up in your eSign account.

1. Click **Bulk Send**.
2. Choose the applicable template and click **Next**.
3. Select **Generate CSV output file of submission responses**.
4. Click **Export Layout**.
5. Name and save the file.

   Tip: Save the file to the desktop or somewhere that is easily accessible.

6. Close the Bulk Send window in the Send to AssureSign desktop application.
7. Navigate to the file that you saved on your desktop and open it. The file is a spreadsheet with an extension of CSV.
8. Enter all of the information for the clients that you wish to send this document to in the .CSV file. There is no limit to the number of individuals that can be entered in the spreadsheet.
9. Save the file.
10. In the Send to AssureSign desktop application, click **Bulk Send**.
11. Select the same template, and then browse to the CSV file you edited.

12. Click **Next**.
13. Click **Process**. Your clients will be alerted that there is a document available to sign.

Glossary

A

AssureSign
An electronic signature software solution. Documents are signed using a computer that has an Internet connection.

AssureSign API (AssureSign Integration Partners)
Our eSign partner, AssureSign, provides easy-to-integrate APIs (DocumentNOW®) that you can use to build integration with your existing processes. Refer to the AssureSign Knowledge Base for API information, code samples, etc. This option is recommended when integrating CCH eSign within your existing processes.

B

Branding
Your firm's logo and color preferences for signing screens.

C

CRM
Customer Relationship Management

D

Document Signer
Reusable documents for signing sessions that include basic formatting and wording. If you use templates, you only have to configure JotBlocks once per template, rather than having setting them up for each individual document.

DocumentLaunch Utility
A lightweight windows application designed to allow for a quick launch of single documents through AssureSign from the desktop. Once the application is running, you may drag-and-drop documents into the launch pad, or you may send instances of AssureSign templates without a local document through a wizard interface.

DocumentTRAK
Configured communications that are triggered by certain events in the document workflow. There are two parts to configuring DocumentTRAK web notifications: Initial configuration, including specifying the location and any parameters Assignment to a specific workflow step on a template

E

Email Design Sets
Groupings containing the series of notification emails that will be sent to the preparer and client during the eSign process. A built-in email design set contains the built-in email designs that are automatically configured when first

accessing your AssureSign account.

Email Designs

The specific information that will be communicated to the client within the emails. There are a series of built-in email designs that will be present on every AssureSign account once it is created. These email designs cannot be edited, but copies can be made and edited to fit the specific needs of the company.

Emails

Notification emails that are sent at various points throughout the eSign process to provide preparers and their clients with status updates on the signing process and what steps should be taken.

J

JotBlocks

Areas in templates or documents that indicate where signatures will be applied by a signer.

K

KBA (Knowledge Based Authentication)

The IRS requires that the signer correctly answer questions before they are allowed to access the document. The questions are based on public records and credit history information that is likely known only to the signer. While all eSign requests for the e-file signature authorization form will require a KBA, you can request KBA for other documents by selecting the KBA option during the upload document process.

R

Reminders

Reminders are automatically sent to signatories when one or more has not signed the document. Reminders are tied to the document's date of expiration and are sent XX (a configurable number) days prior to the expiration date.

Roles

The user settings that allow certain access to AssureSign documents and processes. A role can be Administrator (allows complete access to all functions and documents), Limited User (limits access to documents created by the user), or Power User (allows access to all documents but does not allow access to administration functions).

S

Signatory

The document signer.

W

Web Interface

One of the options for sending documents for eSign. This is the simplest option to set up and is accessible anywhere, anytime. Once users are set up, they can log into their AssureSign account, provide their credentials, and start sending documents.

Web Notifications

Data-only DocumentTRAK web notifications are used to communicate without sending the document. They may be sent on any trigger-ready event in the lifecycle of a document.