TAX YEAR 2015

Volunteer

e-file Administration Guide

IRS

Volunteer Standards of Conduct
VITA/TCE Programs

The mission of the VITA/TCE return preparation programs is to assist eligible taxpayers in satisfying their tax responsibilities by providing free tax return preparation. To establish the greatest degree of public trust, volunteers are required to maintain the highest standards of ethical conduct and provide quality service.

All VITA/TCE volunteers (whether paid or unpaid workers) must complete the Volunteer Standards of Conduct Training, and sign Form 13615, Volunteer Standards of Conduct Agreement, prior to working at a VITA/TCE site. In addition, return preparers, quality reviewers, and VITA/TCE tax law instructors must certify in tax law prior to signing this form. This form is not valid until the site coordinator; sponsoring partner, instructor, or IRS contact confirms the volunteer's identity and signs and dates the form.

As a volunteer in the VITA/TCE Programs, you must:

1) Follow the Quality Site Requirements (QSR).

2) Not accept payment or solicit donations for federal or state tax return preparation.

3) Not accept payment, solicit donations, or accept refund payments for federal or state tax return preparation.

4) Not knowingly prepare false returns.

5) Not engage in criminal, infamous, dishonest, notoriously disgraceful conduct, or any other conduct deemed to have a negative effect on the VITA/TCE Programs.

6) Treat all taxpayers in a professional, courteous, and respectful manner.

Failure to comply with these standards could result in, but is not limited to, the following:

- Your removal from all VITA/TCE Programs;
- Inclusion in the IRS Volunteer Registry to bar future VITA/TCE activity indefinitely;
- Deactivation of your sponsoring partner's site VITA/TCE EFIN (electronic filing ID number);
- Removal of all IRS products, supplies, loaned equipment, and taxpayer information from your site;
- Termination of your sponsoring organization's partnership with the IRS;
- Termination of grant funds from the IRS to your sponsoring partner; and
- Referral of your conduct for potential TIGTA and criminal investigations.

Confidentiality Statement:

All tax information you receive from taxpayers in your VOLUNTEER capacity is strictly confidential and should not, under any circumstances, be disclosed to unauthorized individuals.

IRS Mission Statement

Provide America's taxpayers with top quality service by helping them understand and meet their tax responsibilities and by applying the tax law with integrity and fairness to all.

Purpose Statement

Publication 3189, *Volunteer e-file Administration Guide*, is designed as a resource guide to assist volunteer e-file administrators in implementing the correct electronic filing procedures at a volunteer *e-file* site. This publication provides guidance on IRS standards for volunteer sites, administrative procedures in using the TaxWise products (Desktop and Online), and samples of the types of e-file documents needed to successfully operate a volunteer *e-file* site.

For the purpose of this manual TaxWise, refers to the Desktop product and TWO to the TaxWise Online product.

The information contained in this publication was the latest information available at the time of publication. Updates and changes will be issued, if needed.

This document consists of 13 sections:

- Guidelines
- Security
- Signature Methods and IRS Recordkeeping
- Ordering Software
- TaxWise Online Pre-Filing Season
- TaxWise Online Filing Season
- TaxWise Online Post-Filing Season
- TaxWise Pre-Filing Season
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General Guidelines

Each volunteer *e-file* site must conform to the same ERO requirements as other tax practitioners. Included in this publication are requirements for operation of a volunteer *e-file* site. Publication 1345, *Handbook for Authorized IRS e-file Providers of Individual Income Tax Returns* and Revenue Procedure 2007-40 (updated information for Publication 1345) provide detailed procedures and assistance for volunteer EROs.

Position Description
The ERO (Electronic Return Originator) is responsible for all electronic filing procedures, from requesting and installing the software to end-of-the-season procedures. The day-to-day procedures of backing up return files, transmitting returns, getting acknowledgments, working rejects, and processing Forms 8879, *IRS e-file Signature Authorization*, and Forms 8453, *U.S. Individual Income Tax Transmittal* for an IRS e-file Return, are also part of the job description. Every *e-file* site must have at least one person who assumes the duties of the *e-file* administrator. There are forms in the Exhibit Section which may help the e-file administrator establish procedures for the site, including examples of information that may be needed for a particular site.

This publication (Publication 3189, *Volunteer e-file Administration Guide*) must be available as a resource tool at all volunteer sites. Site coordinators will be asked to provide proof of its availability during site reviews that will be conducted throughout the filing season. As a convenience, we have included an electronic copy of Publication 3189 in the TaxWise CD and recommend downloading it to your computer.

e-file Quality Review

Accuracy of the returns prepared by volunteers is imperative. As the ERO, your experience and responsibilities put you in the best position to observe trends such as quality issues, repeat rejects, recordkeeping inconsistencies, etc. When situations like these are observed, it is the ERO's responsibility to bring them to the attention of the appropriate individuals, whether that is the site coordinator, taxpayer, or quality reviewer.

The Quality Site Requirements (QSR) include ten practices that are necessary to ensure taxpayers visiting VITA/TCE sites receive quality service and an accurately prepared return. The QSR's are:

1. Volunteer Certification
2. Intake and Interview process
3. Quality Review Process
4. Reference Materials
5. Volunteer Agreement
6. Timely Filing of Tax Returns
7. Civil Rights Information is Provided to All Taxpayers
8. Correct Site Identification Number (SIDN)
9. Correct Electronic Filing Identification Number (EFIN)
10. Security, Privacy, and Confidentiality Guidelines

If you have specific questions on these requirements, you should communicate with your local partnership contacts, and then your local IRS SPEC Relationship Manager, if applicable.

As the ERO, you can provide assistance and support to the site coordinator in several ways to ensure the accuracy of the returns:

- Assist the site coordinator in setting up a standardized quality review procedure to ensure 100% review of all returns.

- Supply the volunteers with materials such as: Publication 17, *Your Federal Income Tax* and Publication 4012, *Volunteer Resource Guide*. At least one copy (paper or electronic) of these resources must be available at each site, as the interview techniques and decision trees are valuable in making tax law decisions. If these materials are not available in paper, volunteers should be shown how to access the materials in the computer software.

- Emphasize that volunteers are to prepare or correct only returns and forms they have been trained and certified to prepare or correct and that are **within the scope of the program**.

- Screen taxpayers to make sure they have the necessary information and documents and that their returns are within the scope of the volunteer program.

- Ensure that tax preparers are asking questions to determine that the taxpayer qualifies for all deductions, credits, etc. As an example, if the taxpayer is asked what his/her filing status is, he/she may say head of household, but not know the correct definition by law. The tax preparer needs to ask probing questions to ensure the taxpayer qualifies as head of household. The interview techniques and decision tree in Publication 4012 are tools that illustrate the probing questions that should be asked.

> **NOTE:** All sites must use Form 13614-C, Intake/ Interview & Quality Review Sheet, to conduct a quality review.

- Ensure the volunteers are running the diagnostics and making corrections for computer prepared returns.

- **Ensure the volunteers at sites using TaxWise® software "create *e-file*" before printing the return. Failure to do so will result in the e-file Submission ID not being printed on the e-file documents, e.g. Form 8879. The e-file Submission ID is required on all electronic records.**

- All returns must be quality reviewed and discussed with the taxpayer. All sites must complete Form 13614-C, Intake/Interview & Quality Review Sheet, after completing the quality review process.

Each site may have different procedures for conducting quality reviews. There are only two types of quality reviewers: designated reviewer, (preferred method); or peer-to-peer reviewer.

As stated previously, one of the following quality review procedures can be used:

Designated Reviewer—someone other than the preparer reviews the return (preferred method).

- A quality reviewer goes to the computer used by the preparer to quality review the return. The quality reviewer examines the return on the computer screen using Form 13614-C, and source documents. The quality reviewer and the taxpayer participate in verifying that the tax law is correctly applied based on the interview and all supporting documentation, and the return is free from errors. The quality reviewer may also ask the preparer additional questions during the quality review.

 Or

- The preparer who completed the return prepares a backup of the return and taxpayer records are then transferred to a quality reviewer. The quality reviewer and the taxpayer participate in verifying that the tax law is correctly applied based on the interview and all supporting documentation, and the return is free from errors using Form 13614-C. The quality reviewer may also ask the preparer additional questions during the quality review.

Peer-to-Peer—another IRS-tax law certified volunteer and the taxpayer participate in verifying that the tax law is correctly applied based on the interview and all supporting documentation, and the return is free from errors using Form 13614-C.

- The peer-to-peer reviewer and the taxpayer participate in verifying that the tax law is correctly applied based on the interview and all supporting documentation, and the return is free from errors using Form 13614-C. The peer-to-peer reviewer may also ask the preparer additional questions during the quality review.

Self-Reviewer—a self-review is no longer an approved method.

Useful e-Filing Resources, located on Exhibit 1, includes a list of publications that can assist you with additional questions concerning e-file. Who Do I Contact?, Exhibit 2 and, Contact Information for Volunteers Exhibit 3, can help you while navigating the e-file process.

For a graphic depiction of the e-file Process, see Exhibit 6.

Emphasizing Separation of Duties

It is important that volunteer roles and users' rights be limited. The volunteer's access privileges should be limited to the activities necessary to perform their volunteer role. For instance, a volunteer who performs only return preparer duties should not be assigned administrative or super user rights. See Tax Preparer Unique User Names, in the Security section of this publication.

Prior Year Returns in MeF

Modernized e-File allows electronic filing of prior year returns. It accepts the current tax year along with two prior Tax Year returns. For example: In January 2016, Modernized e-File accepted 2015, 2014 and 2013.

Volunteer Tax Alerts (VTAs)

In an effort to centralize communication between TaxWise, IRS, and partners, a VITA topic page titled "Volunteer News" was created on the TaxWise website. This page, which is accessed through the TaxWise Solution Center, houses pertinent information for our volunteers, such as alerts issued by SPEC (i.e. Volunteer Tax Alerts (VTA), Quality Site Requirement Alerts (QSRA) and Interactive Tax Assistant (ITA). This addition makes information more accessible for all volunteers, ensures critical messages are delivered timely, and saves resources expended on printed materials for volunteers. As a best practice, users should check the Support Site daily for new information located on TaxWise Solution Center.

Facilitated Self-Assistance (FSA) Model

FSA is an assisted self-help model of tax preparation that empowers computer-savvy taxpayers to input and e-file their own return at a VITA/TCE site. Certified volunteers act as tax coaches, assisting taxpayers with questions and helping them with computer issues that may arise. Partners market the program to taxpayers as VITA FSA. Tax preparation software is supplied by members of the Free File Alliance and other software providers. Partners can choose to establish FSA as a stand-alone site, or they can add it to an existing VITA/TCE site to provide taxpayers with options for filing their return. A third option is FSA Remote where the partner can refer the taxpayer to a website they can access from a computer at home or office. Certified volunteer assistance may be provided in person, by telephone, or by other electronic means (email or chat). FSA is available in all states, although software options and offers vary by state and company. Check with your SPEC Relationship Manager for further details about this exciting option for tax preparation at VITA/TCE sites.

Virtual VITA/TCE

All returns prepared by volunteers through traditional VITA/TCE must be completed while the taxpayer is present. Do not take the taxpayer's information for completion of the return outside the presence of the taxpayer. The exception is the Virtual VITA/TCE Model.

In some cases, having the taxpayer present in the preparer's site is not always possible. In these cases, certified volunteers may interview taxpayers over the phone or through other electronic media, while preparing their returns. Both the Intake site and Preparation site must follow all of the requirements listed in the Quality Site Requirements (QSR). In some cases, the taxpayer information must be left at the site to be prepared and mailed to the taxpayer. Security and privacy measures must be implemented to ensure taxpayer records are properly safeguarded. All Virtual VITA/TCE sites must be approved by the responsible local IRS SPEC Territory Manager to ensure all procedures are in place as described in the QSR and the taxpayer's and government's interests are properly protected. This includes the correct use of Form 13614-C (*Intake/Interview and Quality Review Sheet*) and security procedures for preparing all returns. Taxpayers must complete and sign Form 14446 (*Virtual VITA/TCE Site Model Taxpayer Consent*) prior to leaving their documentation for tax preparation using the Virtual Model. For more information on the Virtual VITA/TCE Model, refer to Publication 1084, *Volunteer Site Coordinator Guide.*

System Requirements for use of TaxWise Software

TaxWise 2015 System Requirements

For best performance, follow the "**Best**" (recommeded) systems requirements

Stand-Alone or Workstation Networked to a Server			
	Base	**Better**	**Best**
Operating System	Windows® Vista	Windows® 7 Windows® 8	Windows® 7 Windows® 8.1
Processor	800MHz processor	2.8 GHz processor	Intel® Core™ i5 or better and equivalent processors
Memory (RAM)	1 GB	4 GB	8 GB
Available Hard Disk Space	1 GB	3 GB	3 GB on solid state drive
Computer Monitor (Display)	1024x768	1024x768 or higher	1920x1080 (1080p or 1080i)
Internet Browser	Internet Explorer® 9.0	Internet Explorer® 11	Internet Explorer® 11
Printer (Microsoft Windows Compatible)	Inkjet (non- W-2/ 1099 forms); Laser (W-2/1099 forms)	Inkjet (non- W-2/ 1099 forms); Laser (W-2/1099 forms)	Laser

What's the difference in "Base", "Better" and "Best" configurations?

• **Base**: TaxWise will install and run correctly in this minimal configuration, but performance may not be suitable for some users

• **Better**: Enhances performance and application response times to meet the needs of most TaxWise users

• **Best**: Recommended for optimum performance, especially for users who prepare complex returns or large numbers of returns

Browser Support

• Internet Explorer 9 or greater

• Google Chrome

• Windows Edge support is pending general availability from Microsoft

Strongly encourage any site planning to use TaxWise Online (TWO) to run the speed test link below, from each computer at the site:

http://speedtest.taxwise.com

If the results of the speed test indicate the communication speed is less than 800 kilobits per second, TWO may not be the best product choice for your site. Communication speed has direct impact on user's satisfaction with this product. Slow communication speeds represent slow response time. Slow response time could increase the amount of time required to prepare a return.
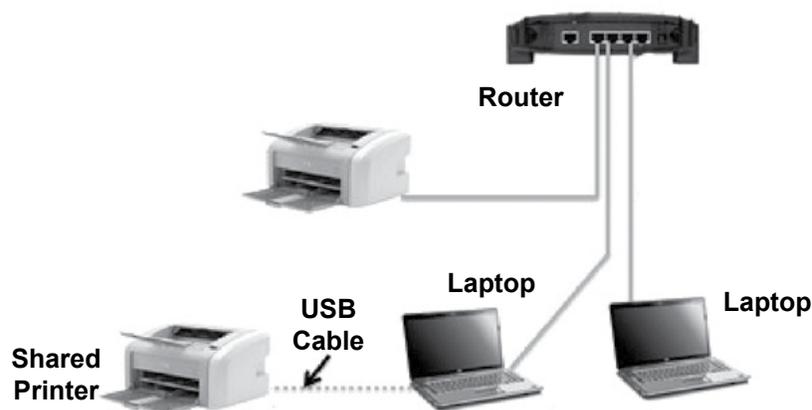
SECURITY

Protection of the Information

Protection of Equipment

SECURITY

Technology comes with inherent risks. E-file sites are required by IRS and, if applicable, by local government to maintain certain taxpayer information. These requirements pertain to both electronic and printed data. This requirement increases the responsibility of all volunteers and partners to be vigilant in safeguarding the information. Protection involves the physical protection of the equipment used, as well as the protection of the electronic data.

Protection of the Information:

1. **Printed media** – Ensure printed documents containing taxpayer information are secured during and after operating hours. Although a locked storage area is preferred, it may not be available while on site. Care should be taken to ensure Forms 8453, 8879, and 13614-C, along with any related information, is not inadvertently revealed to others. Store paper documents away from the flow of traffic, and out of the reach of clients who may inadvertently retrieve these documents with their own papers. Reports showing Submission ID Numbers and e-file Acknowledgments should be protected.

   Any sensitive information not returned to the taxpayer or authorized by the taxpayer to be kept for retention by the site, must be shredded or burned.

2. **Portable Mass Storage Devices (PMSD) – PMSD**, such as diskette, CD, Flash Drive, Jump Drive, etc. used to backup returns must be protected. Place identification labels on the **PMSD** and establish a system to control and account for them. These devices should be stored in a *secure location* to prevent theft/loss of information. Encryption is not required if only storing back-up files from the TaxWise software.

3. **Electronic information stored on computers** – Taxpayer information stored on computers may be subject to unauthorized access. The ERO should work with the site coordinator to ensure every possible precaution is in place to protect taxpayer information and privacy. TaxWise software encrypts data stored in TaxWise; however, the same precautionary measures should be taken regardless of which software is used. Use of antivirus and firewall software is required on all computers used for tax preparation and when connecting to the Internet to prevent unauthorized access.

4. **Networking TaxWise** - Many sites are now successfully using simple Local Area Networks (LANs) for improved productivity and security. Using LANs at sites is strongly encouraged. For TWO software, a sub-network with its own router creates a secure system, separate from your site host's computers and simplifies printer setup.

Simple LAN setup. For TWO the router is connected to the Internet.

Using a LAN for Desktop software also has numerous advantages especially for the e-file site manager, as listed below.
- Better security - only one computer actually holds the data;
- Only one computer requires TaxWise updates;
- Only one computer needs to be backed up;
- All networked computers have access to all returns when the network is running;
- Quality Review can be conducted from any one of the networked workstations;
- Printer sharing is easy as printer switches are not required.

NOTE: When using network printers, always set them up with a "static IP address" to ensure the printer will not be "lost" by the network when a router is allowed to randomly reassign IP addresses each time the network is setup.

5. **Encryption Software** – Since the TaxWise software encrypts all taxpayer information, the use of separate Encryption Software may no longer be necessary. Each volunteer partner needs to self-assess the risk to determine if they will continue to use encryption software on the computer hard drives used for tax return preparation. The IRS loaned computers will continue to use encryption software to protect the whole disk on these computers as required by current government policy.

6. **Use of Wireless Technology at volunteer sites** – IRS recommends partners/volunteers use wired connections when transmitting taxpayer information via the internet. If partners/volunteers, after assessing their individual risks, still decide to use wireless devices to transmit taxpayer information to CCH Small Firm Services (TaxWise), at a minimum, partners/volunteers should use:

   1. Wi-Fi Protected Access – (WPA2) certified equipment and software. WPA2 uses government strength encryption in the Advanced Encryption Standard (AES); and

   2. AES with a minimum of 256-bit encryption; and

   3. WPA2 Robust Security Network (RSN) framework should be used with authentication to establish a secure wireless connection between WLAN (Wi-Fi Local Area Networks) devices; and

   4. The default network name or SSID (Service Set Identifier) should not be used. The SSID character string should not reflect names associated with VITA, TCE, IRS, or tax preparation. (i.e. do not use TCE Library site, Tax Prep Network, etc.)

Partners/volunteers are encouraged to use TaxWise Online (TWO) when using wireless devices since all taxpayer data is stored on a secure server located in the CCH Small Firm Services data center.

Partners/volunteers are expected to exercise caution to ensure taxpayer returns and personal information is properly safeguarded. Partners/volunteers must have sufficient knowledge of the equipment (computer, software, routers, and wireless devices) they use to adequately assess their security risks and take reasonable steps to mitigate those risks.

7. **File Sharing** – Peer-to-peer (P2P) file sharing is a popular way to exchange or "share" files. Any software or system allowing individual users of the Internet to connect to each other and trade files is considered P2P. This includes applications that allow users to immediately communicate with each other via instant messaging and those that allow multiple computers to pool their processing power and memory to create a super computer.

Use of P2P applications introduce security risks, such as:
- Exposing data/system to viruses/malicious code;
- Placing personal and/or sensitive information at risk of unauthorized access;
- Imposing capacity constraints on computers and networks.

Before using P2P file sharing ensure you understand the risks.

> **NOTE:** P2P software causes problems that may not be fully understood. Some files can be made public through the use of this software. Therefore, all volunteers must ensure that non-IRS computers are properly protected.

8. **Password Protection** – Taxpayer information stored on computers must have password protection to ensure/prevent unauthorized access. The ERO should work with the Site Coordinator and/or volunteers to develop a system to ensure strong passwords are used and that the passwords are changed periodically or as required to ensure taxpayer information is protected. TaxWise software requires the use of a strong password.
- A strong password should have at least 8 characters and include numbers or symbols. The longer the password, the tougher it is to compromise. A 12-character password is stronger than one with 8-characters.

> **NOTE:** Avoid common words: some hackers use programs that can try every word in the dictionary. Don't use your personal information, your login name, or adjacent keys on the keyboard as passwords. Change your password regularly (at a minimum, every 90 days). Each user should have their own unique User Name and unique password. Don't use the same password for more than one user. Administrator passwords should be unique and only known to select Admin level users.

- Do not post the passwords on or near equipment or in a laptop case. Do not put passwords in an automatic script routine or program.
- Sign off or lock equipment when not in use. Use screen savers and automatic computer lockout after a preset period of inactivity.
- Ensure information is not accessible to general computer users that share equipment. The diligent use of strong passwords will protect against unauthorized access to taxpayer information.
  - **Operating System Passwords** – All sites using computers to prepare returns are to protect access to the operating system with a password that uses strong password configuration.
  - **Tax Preparer Unique User Names** – All volunteers using the TaxWise software are strongly encouraged to create a unique user name that is password protected. Partners must have a process in place to identify every volunteer that prepared or made changes to every tax return. This policy helps to protect the volunteer as much as it protects the taxpayer.

- The volunteer's access privileges should be limited to the activities necessary to perform their volunteer role. For instance, a return preparer should not be assigned administrative or super user rights.
- When the site uses "other" software to prepare returns, similar security precautions should be followed as allowed by the software.
- When volunteers quit, resign, or are no longer working at the site, the ERO or Site Coordinator must immediately deactivate their user names.
- The site should not use generic user names or passwords, such as "volunteer"; the site must change the password immediately when a user leaves the program.

> **NOTE:** TaxWise "Guest" accounts must be password protected. If other software is used to electronically prepare tax returns, all user and non-user accounts, such as "guest" accounts should be password protected.

9. **Disposing of information** – All electronic media and hardware should be disposed in a timely manner that ensures data is not recoverable. Contact your local SPEC Territory office for additional guidance.

10. **Deleting Taxpayer data** – Information may not be stored on partner owned or IRS loaned equipment once the filing season activities are completed. The information on all computers (both partner owned and IRS loaned) must be deleted (securely wiped) as part of the site closing activities. Deleting the information properly will prevent unauthorized disclosure of confidential information. IRS provided software encrypts all tax return data stored on the user's computer or on removable media.

11. **Deactivating users** – Deactivate most TWO users or ensure they only have "Return Preparer" role and move returns to a user with ADMIN privileges. (See TWO Post Filing Season).

Protection of Equipment

Secure equipment, when not in use, in a controlled limited access location. When in use, ensure equipment is under the care of a volunteer at all times. The laptop computers used in the program must be kept secure. Additional safeguards to be considered to protect equipment from both theft and accidental damage are:

1. Do not expose the laptop to extreme temperatures; i.e., by leaving the computer in a car or garage with no ventilation in the summer or no heat in the winter.

2. Handle carefully. Avoid jarring, bumping, and dropping the equipment.

3. Keep food and drinks away from the system and do not smoke around the equipment, as these are hazardous to the system components.

4. Never leave a laptop unattended. Lock in a cabinet or unmovable container, when not in use.

5. When transporting between locations and the need arises to leave the equipment in the car, secure it in the trunk at the point of departure, not at the point of arrival. If a trunk is not available, conceal it from view.

6. When stored in a home or business, ensure it is not easily visible through windows.

7. Know the serial number, type of equipment and any identifying tags (such as a bar code) present on the equipment in the event it is lost or stolen. Law enforcement agencies will need this information to be able to provide assistance, in the event of theft or loss.

Contact your local SPEC Territory office if any equipment that contains taxpayer data is lost or stolen. As a condition of IRS loaned equipment, the recipient of loaned equipment agrees to notify SPEC within 48 hours if equipment is lost or stolen.

SIGNATURE METHODS AND IRS RECORDKEEPING

Signature Methods for *e-file* Returns

There are two electronic signature methods for signing e-filed individual income tax returns. Both methods allow taxpayers to use a Personal Identification Number (PIN) to sign the return and the Declaration of Taxpayer: Practitioner PIN and Self-Select PIN. Following is an explanation of each signature method along with the advantages and disadvantages of each method.

Practitioner PIN Method

The Practitioner PIN method is the preferred electronic signature method for taxpayers. All taxpayers are eligible for the Practitioner PIN Method. The taxpayer(s) doesn't have to be present to enter their PIN. The tax preparer can enter the PIN for them if authorized by the taxpayer by signing Form 8879, IRS e-file Signature Authorization.

How do you use the Practitioner PIN option in TaxWise?
- Go to the "Main Information Sheet".
- Scroll to the "Self-Select and Practitioner PIN(s)" section.
- Enter the ERO PIN "98765" (this is the designated ERO PIN for all volunteer *e-file* sites and should be set as a default).
- Check the box below the PIN field to select the Practitioner PIN method.
- Tab to "The Income Tax Return" and place an "X" in the box. (This should be set as a default.)
- In Part III, of Form 8879, *IRS e-file Signature Authorization*, the volunteer must enter the EROs information and signature line (according to the instructions issued by the volunteer organization), which should be defaulted with the site name, SIDN and current date.

There is no requirement for the previous year's AGI or Prior Year PIN. Form 8879 is generated and may be taken home by the taxpayer for signature by the spouse. The following must be accomplished before the return is considered complete and ready for ERO transmission.
- Return has been quality reviewed. Please note it is critical for the preparer, quality reviewer, AND the taxpayer to validate SSNs and names, as well as anything on the W-2 and/or 1099 BEFORE the taxpayer leaves the site.
- The taxpayer(s) agrees with the return and the PIN(s) are entered.
- The return is printed, including a copy of Form 8879 (use Form 8878, IRS e-file Signature Authorization for Form 4868 or Form 2350, if filing Form 4868 with electronic funds withdrawal authorization) . The taxpayer(s) sign the Form 8879 (or 8878) then retains this form as their signature authorization.

Self-Select PIN Method

> **NOTE**: **For details on this method, refer to Publication 1345,** *Handbook for Authorized IRS E-file Providers of Individual Income Tax Returns*, **Chapter 3 Signing an Electronic Tax Return.**

Rejected Returns

The most common rejects involve errors in either the taxpayer(s) or their dependents' Social Security Number (SSN) and the Employer Identification Number (EIN) that appears on the Forms W2 and Forms 1099. The IRS performs a name match on these numbers that can cause a return to be rejected. Typographical and other errors can often be easily resolved. The Taxpayer may need to be contacted to determine the correct EIN or SSN numbers. Neither the IRS nor TaxWise can resolve these rejects.

Sometimes a rejected return may contain errors that, when corrected, require substantive changes. If this occurs, a new Form 8879 signature authorization must be signed by the taxpayer(s). Substantive changes are defined as changes of more than $50 to "Total Income" or "AGI" or more than $14 to "Total Tax", "Federal Income Tax Withheld", "Refund" or "Amount You Owe".

> **NOTE**: **When the Practitioner PIN Method is used and a new Form 8879 (or Form 8878 for Form 4868 or Form 2350) is not required, any changes to tax or refund/balance due amount should be discussed with the taxpayer and a corrected return copy provided to the taxpayer.**

Recordkeeping Requirements

Accurate tracking of returns prepared for taxpayers is necessary to ensure acknowledgments are received and rejected returns are handled in a timely manner. An *e-file* log can be utilized to track the status of returns. This log can contain taxpayer name, date completed, date transmitted, date accepted/rejected, and date taxpayer notified, if rejected and the rejection cannot be resolved by the ERO alone. This log should be retained with e-File Submission and Acknowledgment Reports, and kept secure. If using the Practitioner PIN, "PP" will be noted in the PIN Presence Indicator under the "Sig Doc" column on the Acknowledgment Report. This signifies the use of the Practitioner PIN. If using the Self-Select PIN, "SSP" will be noted in the PIN Presence Indicator under the "Sig Doc" column on the Acknowledgment Report. **This signifies the use of the Self-Select PIN, and no Form 8879 is required.**

It is highly recommended that sites use the Return Stage and Taxpayer Diary features in TaxWise to track the status of each tax return as it is prepared. This will keep the ERO informed on the status of each return. See respective section on these features in the TaxWise Online Pre-Filing Season and TaxWise Online Filing Season section of this publication and the TaxWise Online User Guide for more details.

Record Retention Requirements

Retaining a signed copy of Form 8879 for the Practitioner PIN method and Forms W-2, W-2G, and 1099R for both the Practitioner and Self-Select PIN methods are no longer required. The taxpayer(s) must sign and date the Form 8879 after reviewing the return and ensuring the information is accurate. The volunteer should then return the signed Form 8879 to the taxpayer along with a copy of their return.

The following documents must be retained until December 31st of the year in which the return was filed:

- A copy of Form 8453, U.S. *Individual Income Tax Transmittal for an IRS e-file Return*, and supporting documents that are not included in the electronic records submitted to the IRS;
- A copy of signed IRS e-file consent to disclosure forms;
- A complete electronic backup, using a Personal Mass Storage Devise (PMSD) of all electronically transmitted returns*
- The acknowledgment file for IRS accepted returns*. (This can be a single year-end acknowledgment report from TaxWise Reports).

* Does not apply to TaxWise Online users.

Taxpayer information may be retained either electronically or In paper format The information should be properly disposed of once it is no longer needed. Proper disposal consists of shredding, burning, or destroying PMSD containing personal sensitive information for security purposes. See Publication 4299, *Privacy, and Confidentiality - A Public Trust*, for more information.

There are two options for retention. Each partner and local IRS SPEC Territory office will discuss and determine which method is used.

Option 1 – The partner is required to store the above until the end of the calendar year in which the return was filed.

Option 2 – The partner will ship the required documents listed above to their local SPEC Territory Office. Prepaid labels are available from your local SPEC office.

- Prior to committing to Option 1, the SPEC Territory office will evaluate the level of security provided for the documents while in the partner's possession. Sufficient security is required to prevent unauthorized access to the data. The IRS SPEC Territory office will determine if Option 1 is approved after the security is evaluated.

IRS Publication 1345, *Handbook for Authorized e-file Providers of Individual Income Tax Returns*, provides instructions to Electronic Return Originators (ERO) for securing and maintaining required documentation used in IRS e-file. Since many volunteer EROs supporting the VITA/TCE programs do not have secure storage space for these required documents, we provide the option of sending them to the IRS.

State Returns

State rules may differ; contact your state Volunteer e-file Coordinator for instructions on the handling of any state signature documents for recordkeeping.

Frequently Asked Questions

1. **If a taxpayer signs a joint return using a PIN, does the spouse also have to use a PIN?**

    Yes. When a taxpayer files a joint return using electronic signatures (PINs), both the taxpayer and their spouse must sign using a PIN. Both taxpayers can choose any five digits except all zeros.

2. **Can a taxpayer enter a spouse's PIN if he/she is unavailable?**

    No. Each taxpayer must enter his/her own PIN.

3. **Does a taxpayer have to use the same PIN that was used the prior year?**

    No. The taxpayer may choose any five digits except all zeros. For better security, the PIN should not contain five consecutive numbers or all five of the same digits.

4. **Can a taxpayer use the same PIN the following year?**

    Yes, or a taxpayer may choose any five digits except all zeros.

5. **Can a taxpayer give their PIN verbally to an ERO to enter it in their electronic return?**

    Yes, but only if using the Practitioner PIN Method. The taxpayer may give their PIN to the tax preparer verbally. However, the taxpayer must also sign Form 8879. The taxpayer's return cannot be released for transmission until the signed Form 8879 is received from the taxpayer. After receiving the signed Form 8879, it is then returned to the taxpayer with the printed copy of the tax return.

6. **Are Forms 8879 mailed to the IRS Processing Center?**

    No. The retention of the Form 8879 is no longer required.

7. **Are Forms W-2, W-2G, and 1099-R retained when either the Practitioner PIN or Self-Select PIN methods are utilized?**

    No. The retention of these forms is no longer required.

Form 8453, U.S. Individual Income Tax Transmittal for an IRS *e-file* Return

Form 8453 is used to transmit specific supporting documents that cannot be e-filed. The specific forms and schedules that can be submitted with the Form 8453 are listed on the form.

Form 8453 only to be used when the additional forms or supporting documents are required to be attached to the return. Form 8453 is to be mailed to the Austin Submission Processing Center within three business days after the tax return has been accepted. A second copy of Form 8453 and attachments must be retained until December 31st.

> **NOTE:** The TaxWise Software, both TWO and Desktop, allows some of these supporting documents to be scanned and attached as a pdf file to the tax return. This option eliminates mailing the supporting documents to the IRS. See the respective TaxWise User Guides for the scanning procedures and the specific documents that can be submitted as scanned attachments.

Below is the shipping location for these documents.

Form 8453 and attachments

Mailing Address	Internal Revenue Service Attn: Shipping and Receiving, 0254 Receipt and Control Branch P.O. Box 1231 Austin, Texas 78767-9958
Shipment Confirmation	Include Form 3210, Document Transmittal, if you want a return receipt. This step is optional.
Mailing Labels	Use pre-printed mailing labels, Document 9282E, Catalog Number 33261H. Mailing labels can be ordered from the National Distribution Center (NDC).
When to Mail Items	Mail forms 8453 within 3 business days after receiving the IRS acknowledgment.
Retention Period	Retain second copy of Form 8453 and attachments through 12/31

Document 9282-E (Business Reply Label – Austin)

For all locations, Form(s) 8453 with its attachments are to be sent within 3 business days from the acceptance of the return(s) that included this form to:

Austin Submission Processing Center - Volunteers use Business Reply Label

The reply labels are available through your SPEC relationship manager.

ORDERING SOFTWARE

EFIN Application Process

To use any professional software product you must apply to become an Electronic Return Originator (ERO) and receive an EFIN. The only method an ERO can use to obtain an EFIN is through the on-line e-file Application. This application is available at the www.irs.gov website via e-services. Each individual listed as a Responsible Official must register for e-services prior to submitting the e-file application electronically.

> ⚠️ **Be aware that if your EFIN is inactive for two consecutive years, it will be placed in inactive status and possibly reassigned to another Authorized IRS e-file Provider.**

Accessing e-Services

> **NOTE: Please refer to Publication 3112 , *IRS e-file Application and Participation*, for instructions on how Partners can gain access to e-services or see instructions below.**

Partners gain access to e-services by using the Registered User Portal (RUP) through the www.irs.gov website.

Begin at www.irs.gov.
1. Click on the "for Tax Pros" tab at the top right of the IRS home page.
2. Click on the button "e-services for Tax Pros" in the menu on the left side of the page entitled "More Topics for Tax Pros."
3. On the screen titled "e-services - Online Tools for Tax Professionals," select either the link titled "Login" or "Registration Services."
    a. Login, if you are already registered for e-services
    b. Registration Services, if you need to register to use e-services for the first time.

The e-services process involves collecting personal data for the sole purpose of authenticating the user's identity. The required elements for the registration process are:
*   Legal name (verified with IRS & Social Security Administration (SSA) records)
*   Social Security Number (verified with SSA records)
*   Date of birth (verified with SSA records)
*   Telephone number
*   e-mail address
*   Adjusted Gross Income (AGI) from either the current year or prior year filed tax return (verified from IRS records)
*   Username. Select a preferred username. Read the rules for selecting a username
*   Password and PIN. Select a password and PIN. Read the helpful hints on selecting a secure, unique password and PIN
*   A reminder question to recover a forgotten username/password
*   Home mailing address (verified from IRS records). If you have moved since you last communicated with the IRS, update the information when registering.

Registering for e-services is a two-step process. Step one is a one-time automated process which cannot be completed without the above mentioned items. The user should have this information available before continuing the registration process. Step two is a confirmation code that will be mailed to the Partner's home address within seven to ten business days. The partner must confirm registration within 28 days to complete the registration process.

Once the registration is confirmed, the partner will have access to the on-line *e-file* application. To access the IRS e-file application:
- Log in to e-services using your login and password
- Click on "application"
- Click on "*e-file* application"

Advantages of e-Services
- Available 24 hours a day, 7 days a week.
- Can be accessed from any computer with an Internet connection.
- Can be saved in progress and an acknowledgment of completion sent via e-mail.
- Can be updated and retained electronically.
- Reduces processing time of the e-file application.
- Allows for more than one Responsible Official for each site.
- New and revised applications can be submitted year round.
- Applications normally approved within 48 hours.

A Responsible Official:
- Is responsible for the ERO at the designated volunteer site, is the first point of contact with the IRS and has authority to submit revised e-file applications.
- The Responsible Official can be the partner, e-file administrator, site coordinator, IT person, etc.
- Must ensure that IRS e-file rules are adhered to at each location he/she oversees.
- Must be a United States citizen or legal resident alien and have reached the age of 21 as of the date of the application.
- May be responsible for more than one office or site.

Completion of the e-file Application

> **NOTE: Each EFIN must include two Responsible Officials (RO) on each application to allow for back-up purposes.**

Before the partner is able to submit the e-file application, they must obtain a **Site Identification Number (SIDN)** from their local SPEC Office. AARP sites will obtain SIDNs from their state Admin Specialist. Once the SIDN is obtained the application can be completed. The following information is required when completing an application:
- Choose an application to revise or select the option to create a new application
- Business Type: Select Volunteer Organization
- Firm name must contain program type (VITA/TCE/AARP), site name and SIDN (e.g. TCE, Site Name, SXXXXXXXXX)
- "doing business as" (DBA) should be the name of the site followed by the SIDN (e.g. TCE, Site Name, SXXXXXXXXX)
- Business address should be the physical location of the site
- Mailing address if different from the physical address
- If site is not open all 12 months of the year, enter the Territory Office address and telephone number
- Contact name/phone number should be the partner's
- Alternate contact/phone number should be your local SPEC Office
- Provider option: Electronic Return Originator
- Business Activity: Choose the option that matches your "not-for-profit" service
- Form 1040 should be selected
- The application should have two (2) Responsible Officials
- Responsible Official information needs to be completed for each individual.

▶**TIP:** See Partners' Training Guide.

Acceptance to the *e-file* Program

Once the IRS receives your application to become an Electronic Return Originator (ERO), we will review each application and make a determination of acceptance. See Publication 3112, IRS *e-file* Application and Participation, for information on the review process and acceptance to participate.

Once accepted into the IRS *e-file* program, an Electronic Filing Identification Number (EFIN) will be assigned to the responsible official. It is the responsibility of all participants to protect this identification number. It is your key to e-file. Your role as an ERO includes but is not limited to:

- Electronically sending the return to a transmitter that will transmit the return to the IRS. Currently CCH Small Business Services (CCH), the developer of TaxWise Software, serves as the transmitter for all volunteer sites using IRS provided software.
- Timely originating the electronic submission of returns.
- Ensuring that any rejects are properly corrected in a timely manner.
- Submitting any required supporting paper documentation to the IRS.
- Providing copies to taxpayers.
- Retaining records and making records available to the IRS.
- Accepting returns only from taxpayers and Authorized IRS *e-file* Providers.

Sanctioning

Violations of the IRS e-file requirements may result in a warning or the sanctioning of an ERO. The failure of an ERO to comply with any requirement or provision outlined in Publication 3112 or Publication 1345, *IRS e-file Handbook for Authorized IRS e-file Providers of Individual Income Tax Returns* or Rev Procedure 2007-40 which is updated information for Pub 1345, could result in sanctioning by the IRS. Sanctioning may be a written reprimand, suspension or expulsion from participation from the IRS *e-file* program, or other sanctions depending on the seriousness of infractions. For more information refer to Publication 3112.

Additionally, Volunteer EROs, identified on e-Services EFIN application, as a request for a VITA, TCE, or Military Base EFIN, must comply with the IRS SPEC Quality Site Requirements, see General Guidelines section for a list of the Quality Site Requirements. Failure to comply with the Quality Site Requirements could result in removal from the IRS SPEC volunteer *e-file* program and suspension of the EFIN.

TaxWise Software Ordering

Only SPEC Territory Offices can place orders for TaxWise software. Sites wanting to use TaxWise software should contact their local SPEC Relationship Manager. Software orders can be placed annually October through January.

SPEC offers two software products for partner use: TaxWise Desktop (CD version), which loads to users' computers/servers or TaxWise Online (TWO), a web-based application. The choice of products is made at the time the software order is placed and cannot be changed once it has been utilized.

Sites transmitting returns for multiple EFINS must be identified when the software order is made to ensure receipt of transmitting EFIN(s), also known as XMIT Codes. (See the section, Transmitting Returns for Multiple EFINs in -TaxWise Pre-Filing Season.)

> **NOTE:** All sites will receive a TaxWise CD regardless of whether they order Desktop or TaxWise Online. For TaxWise Online software users the registration code received will activate both the TaxWise Online application and the TaxWise Desktop application allowing TWO users to create returns in the Desktop program in extreme circumstances.

Site administrators responsible for management of multiple sites may request and view reports in TaxWise for all Electronic Filing Identification Numbers (EFINs) or sites for which they are responsible through use of a "Relational EFIN". Using the Relational EFIN allows you to pull up reports for several sites at once without having to log in and out of the individual site. Site Administrators wishing to use the Relational EFIN process should notify their local SPEC Territory Office.

How to request Relational EFIN access? At the time the software is ordered you should notify your local SPEC Relationship Manager of all the sites for which you provide management support or oversight. The SPEC Relationship Manager will identify your EFIN and list each of the sites you are requesting "relational" EFIN access for when placing the software order. If the request is not completed at the time the software order is placed, it must be completed prior to the start of *e-file* for the sites. Do not confuse "relational EFIN" with "transmitting for multiple EFINs". See "TaxWise Pre-Filing Season" section for information on transmitting for multiple EFINs. The relational EFIN only permits access to production and other statistical management reports available through TaxWise.

Disclosure Requirements for Relational EFINS. Internal Revenue Code Section 7216 requires that each taxpayer sign a Regional office consent to "use" form. Refer to the Publication 4299 Privacy and Confidentiality - A Public Trust for further guidance.

IRS/CCH License Agreement

A site is a unique physical location where tax returns are prepared. Each site must have a unique site identification number (SIDN) as well as an IRS issued Electronic Filing Identification Number (EFIN). An SIDN is used to track returns completed at a site while each EFIN is associated to the SIDN and site location during the ordering process. A unique EFIN is to be used at each site except for those that qualify for exception one or two (TWD or TWO) or TWD sites using exception three for an ERO with multiple sites. The site license permits all computers located at the site to be loaded with TaxWise.

CCH has agreed to allow sites to share a license if they meet one of the exceptions shown below.

> **Reminder**: **For sites using TaxWise Desktop (CD version), <u>only one computer can serve as the transmitting computer for the EFIN</u>, regardless of whether they meet an exception. CCH will not permit transmissions from multiple computers with the same EFIN.**

Exception One: Base Site with Ad-Hoc Visits

A site serves as a base site, but offers free tax preparation to taxpayers in underserved communities on an ad-hoc basis.

Criteria for using exception one:
1. Volunteers work at a "base" site.
2. Assistance is provided on an "ad-hoc" basis at a remote location.
3. Tax preparation services are provided on an appointment only or as needed basis

Examples of sites that would qualify under this exception:
- In addition to providing tax preparation at their base site located in Palestine, TX, volunteers also service two small towns. Tax preparation services are provided through an arrangement with a local organization (e.g. library, community, or senior center, etc.) and are offered on an appointment only or as needed basis. The volunteer does not have set days or hours when they will arrive at the two small towns. Visits to the towns, outside of the base site, are ad-hoc in terms of both frequency and location. All desktop transmission of returns must be completed from the base site and from one Client ID/computer. All TWO transmissions of returns are performed by the base site from one Client ID/computer.
- A team of taxpayers serve customers who either live in remote areas or who cannot travel to existing sites (homebound.) All TWO transmissions of returns are performed by the base site from one Client ID.

Exception Two: Special Event

A partner or coalition who operates a tax preparation site also offers free tax preparation services at a special event.

Criteria for using exception two:
1. Partner or Coalition operates a base tax preparation site.
2. The special event site is opened less than one week during filing season.

Examples of sites that would qualify under this exception:
- A special event hosted by a partner or coalition using the computers and volunteers from their regular tax site. Example – Kroger Midnight Madness, EITC Day, Super Saturday. All transmissions of returns are performed by the base site from one Client ID/computer.
- Free tax preparation services offered in conjunction with a community function such as a Financial Literacy Conference. All transmissions of returns are performed by the base site from one Client ID/computer.

Exception Three:

One Electronic Return Originator (ERO) with Multiple Sites

Exception 3 applies when one ERO (Electronic Return Originator) with multiple sites transmits all returns and receives all acknowledgments using the same computers. Every site using this exception must have its own license agreement and be identified in SPECTRM during the software ordering period. (Note: The ERO will receive only one copy of the TaxWise CD.)

An Alternative to using Exception 3 is sites can request a Transmit code for all associated EFINs by identifying the Transmitting EFIN during the ordering process. TaxWise will deliver a registration and a Transmit code for each associated EFIN.

Criteria for using exception three (applies to TaxWise Desktop users only):

1. ERO transmits returns prepared at all sites from the same transmitting computer.

Example of sites that would qualify under this exception:

An ERO operates a base site on Monday and Saturday. On Tuesday, returns are prepared at Main Street Senior Center. On Thursday, returns are prepared at Central Street Senior Center. Each site has fixed hours. The ERO is responsible for transmitting returns prepared at all sites from the same computer.

Example 1

SiteSIDN	EFIN	Transmit EFIN	Exceptions 1,2,3	TW On Line	Template Subscriber	SiteName	AddressL1	City
						SAMPLE SOFTWARE ORDER - EXCEPTION 3		
						District 1-Oak Ridge		
SXXXX0101	XXX289	XXX289		Yes		Oak Ridge Senior Center	728 Emory Valley Road	Oak Ridge
SXXXX0105	XXX251	XXX251		No		Norris Community Building	20 Chestnut Dr	Norris
SXXXX0108	XXX786	XXX786		Yes	XXX289	Kingston Community Ctr	201 Patton Ferry Road	Kingston
SXXXX0110	XXX352	XXX352		No		Wartburg Library	510 Spring Street	Wartburg
SXXXX0111		XXX352	Except 3	No		LaFollette Public Library	210 S. Tennessee Ave.	Lafollette

Sample Software Order for Exception Three

TWO Template Sharing

In TaxWise On-Line (TWO) tax form defaults are created using a Template. A Master Template is included in the software that can be modified for local use. This modified template can be shared with other sites. To share a template the EFIN of the site creating the modified template must be listed in the "Template Subscriber" field of the TaxWise software order form. Refer to Software Ordering Guidelines for further instructions.

Example 2

SiteSIDN	EFIN	Transmit EFIN	Exceptions 1,2,3	TW On Line	Template Subscriber	SiteName	AddressL1	City
						SAMPLE SOFTWARE ORDER - TEMPLATE SUBSCRIBER		
						District 1-Oak Ridge		
SXXXX0101	XXX289	XXX289		Yes		Oak Ridge Senior Center	728 Emory Valley Road	Oak Ridge
SXXXX0102	XXX252	XXX252		Yes	XXX289	Loudon County Senior Center	901 Main Street	Loudon
SXXXX0103	XXX907	XXX907		Yes	XXX289	Huntsville Municipal Building	3053 Baker Highway	Huntsville
SXXXX0105	XXX251	XXX251		No		Norris Community Building	20 Chestnut Dr	Norris
SXXXX0108	XXX786	XXX786		Yes	XXX289	Kingston Community Ctr	201 Patton Ferry Road	Kingston

Sample Software Order for Template Sharing

Quick Alerts

Quick Alerts is a free IRS online service that disseminates e-file messages to all subscribers. The messages keep the subscriber up to date on events that impact e-file Transmitters, Authorized *e-file* Providers and e-file Software Developers.

Why Should You Subscribe?
There are three categories that provide all around e-file information which is certain to enhance your tax season e-filing knowledge. These categories and more are found at **www.irs.gov** by entering "subscription" in the search box, and then clicking on the found link, "Subscription Services."

- Alerts – Processing delays, programming issues, changes to any filing season procedure, Participants Acceptance Testing System (PATS) changes.
- General Notifications – Seminars, Conferences, and e-file publication changes.
- General IRS e-file Service Center Messages – IRS e-file program updates, general information, service center maintenance schedules, IRS e-file Help Desk phone numbers and more.

Another benefit is the *Quick Alerts Library*. The library stores previously posted messages. If you've missed any of the filing season messages, click on the following link to see older and previously posted Quick Alerts: **Quick Alerts Library**. Or, you can again go to **www.irs.gov**, enter "quickalerts library" in the search box, and click on the found link, "QuickAlerts: "More" e-file benefits for EROs." The ensuing page will provide information on the Quick Alerts service and provide links to the QuickAlerts Library as well as the Subscription Services.

Updating or Canceling Subscriptions
At the bottom of each Quick Alerts email you receive, there is a Subscriber Preference Page link. Selecting this link will allow you to update your subscription information, modify the Quick Alerts you receive or cancel your subscription.

Problems or Questions
If you have questions or problems with the subscription service, please contact support@govdelivery.com. If you have another issue you want to bring to our attention, you may send us an email at QuickAlerts@irs.gov.

What's on the TaxWise Install CD

In addition to the new TaxWise program there are several other useful programs and utilities on the TaxWise Install CD. Many of the items (Publications and Forms) are required to be at a volunteer site and you can download these items to your computer when you install TaxWise. Listed below are these useful tools:

- TaxWise Desktop Reference Guide
- TaxWise Online Reference Guide
- Publication 3189 – e-file Admin Guide
- Publication 4012 – Volunteer Resource Guide
- Form 13614-C – Intake/Interview and Quality Review Sheet
- Third Party Products
  – Microsoft Internet Explorer
  – Adobe Reader
  – Windows Media Player - Website Link
  – Macromedia Flash Player - Website Link

CCH Small Firm Services - Client ID

A 5 - 9 digit client ID will again be assigned to all TaxWise and TaxWise Online licenses on the shipping confirmation sheet provided with delivery of the software.

The EFIN and REG code will be used to perform set-up in TaxWise and to register the software. The 5 - 9 digit code will be used to access the support site and web reports located at support.taxwise.com. This will allow the Electronic Return Originator (ERO) greater protection of their EFIN.

TAXWISE ONLINE PRE-FILING SEASON

Accessing & Setting Up TWO

- **First Time Login**

- **Procedure for No Previous ADMIN Password**

- **Procedure for ADMIN User with Previous Password**

- **Password Requirements**

- **Adding New Users**

- **Permissions Assigned to Each User**

- **Modifying Users & Resetting Passwords**

Creating Return Templates

- **Creating a New Return Template**

- **Modifying Return Templates**

- **Adding Additional Forms**

- **Assigning the Return Template**

User Defined Return Stages

User Defined History List (Preparer Use Fields)

Accessing & Setting Up TaxWise® Online

- Open Internet Explorer.
- Type https://twonline.taxwise.com or https://twonline.taxwise.com/508 in the address line. This can be added to favorites and or a desktop short cut. For further instruction refer to Chapter 2 of TaxWise Online User Guide

First Time Login (Refer to Chapter 4 in the TaxWise Online User Guide for more details)

Procedure for No Previous ADMIN Password

A new password if you are the ADMIN person and your client ID has never accessed TWO or the customer support site at TaxWise.com then:

- Enter your client ID (provided when software is delivered).
- Enter the User Name ADMIN.
- Enter your 20-digit Registration Code (included in your software delivery) for the password the first time you enter TWO.
- Click the Log In button.

You will be prompted to enter a new password.

- Re-enter the new password.
- Select a security question.
- Enter the security answer. The security question is important, no users may reset their passwords if they have forgotten it.
- Read and review the license agreement. Check the box

Procedure for ADMIN User with Previous Password

- Enter your client ID
- Enter User Name ADMIN
- Enter your password
- Click the Log In button (If prompted change your password)
- Read and review the license agreement then check box

Password Requirements

- Must be unique per user
- Must contain at least 8 characters
- Must contain at least one letter & one number
- Passwords are case sensitive
- Must be changed every 90 days
- Cannot contain User Name

Adding New Users

To add a new user to TaxWise Online, use the following steps:

Click the **Manage Users** button.

TaxWise Online displays the User Manager window:

1. Click the **Create a New User** link.
   • Enter a unique user name.
   • Enter the first and last name of the preparer.
   • Enter an e-mail address – required (can be the volunteer's or Administrator's).
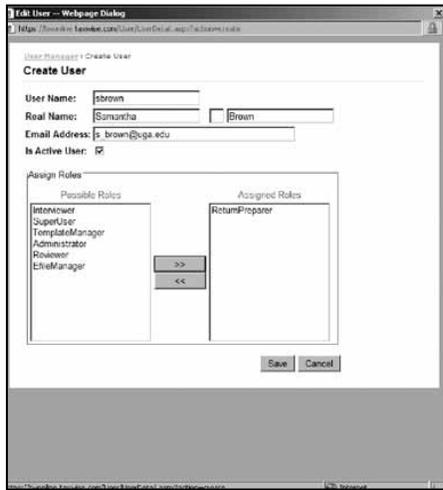
   • Assign the appropriate role by clicking on the item in the "Possible Roles" column and then clicking on the right arrows to add it to the "Assigned Roles".
   • Click the Save button.

> **NOTE:** User names are case-sensitive! When users log on to TWO the first time, their password is their username. Users will then be prompted to change the password.

> ⚠ **Do not assign a role the volunteer is not expected to do.**

Each user can be assigned multiple roles. Any user assigned the Administrator role, must also be assigned a role that allows return creation if the user will be creating tax returns. It is important that volunteer roles and users' rights be limited. The volunteer's access privileges should be limited to the activities necessary to perform their volunteer role.

> ⚠ **We strongly recommend that you limit the number of users who are assigned the Administrator role.**

Permissions Assigned to Each User

	Administrator	Super User	Return Preparer	Template Manager	Interviewer	Reviewer	e-file Manager
Enables "Mark as Ready to e-file" box	X	X	X				
Submit *e-file*	X	X					X
View Acknowledgments	X	X					
Move returns between users	X	X					
Delete returns	X						
Open existing returns	X	X	X		X	X	
Print returns	X	X	X				
Return Query	X	X	X		X	X	
Return Templates	X			X			
Manage users	X						
Reset Users passwords	X						
Create new return		X	X		X	X	

* This chart only shows the most common User Roles. See the TaxWise On-line User Guide for a complete list of User Roles.

Modifying Users & Resetting Passwords
- Click on the Manage Users Icon.
- Click Reset to reset the password back to the username.
- Click Edit to modify the Username information. You can:
  – Modify the Real Name,
  – Modify assigned roles,
  – Deactivate Users.

> ▶**TIP:** The ADMIN user cannot be modified.

Creating Return Templates
(Refer to Chapter 7 in the TWO User Guide for more details)

> **NOTE:** Users can create templates from the Master Template in Training then publish to production.
> This allows the site the ability to start a new return to ensure the templates are setup as expected.

Return Templates are used to enter information on forms that you want to appear in all tax returns such as preparer name, site address, SIDN, EFIN, etc.

Return templates allow any user with Return Template rights to complete common information that will apply to all subsequent tax returns they create.

Any user assigned the Administrator role has access to Return Templates. Also, any user assigned the Return Template role has access to Return Templates.

Creating a New Return Template:
- Click on the Return Templates icon
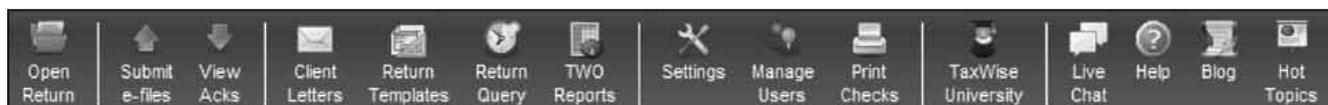
- Click on the **New** Icon and the following dialog box displays:

- Enter the Name of the **Return Template** you are creating. For example, sites that border two states may create a return template for each state.

- Enter a detailed description.

- Select **"Make Default"** if you want to make this your default template. There can only be one default template.

- Select what you want your return template to be based on from the drop down listing.

- Click **OK**.

NOTE: The first time a template is set up select Master Template from the drop down list to use as a basis for the new template. Once you have created more than one return template, you can choose from the drop down list to create a new template based on one you have already created.

Modifying Return Templates

CCH Small Firm Services has pre-loaded a return template called Master Template. This has most of the required forms as identified in the publication. It is recommended that the Master Template be used as a basis for new templates. The pre-set defaults included in this template are:

1. Main Info Sheet Required fields:
   - Appropriate form to Use – "1040"
   - Taxpayer's name, address, phone number, date of birth, and occupation are designated as required fields
   - Are you excluding Puerto Rico income is checked "No"
   - Return Type – "E-File Only"
   - Third Party Designee is checked "No"
   - Self –Select and Practitioner PIN(s) section: ERO Pin is entered for Self Select & Practitioner PIN of "98765"
   - Box is checked for "Using the Practitioner PIN method for e-filing this income tax return"
   - Box is checked for "The Income Tax Return"
   - "IRS only" box will be checked in the Preparer Information section
   - Preparer's Use Fields section boxes 11 and 12 are populated for Language and Disability questions

2. 1040 Worksheet 1 (Social Security)
3. 1040 Worksheet 3
4. 1040 Worksheet 7
5. Schedule A Detail linked to the Schedule A
6. Schedule B linked to the Interest and Dividend Statements
7. Schedule C
8. Schedule D
9. Capital Gains Worksheet
10. Form 8949
11. Form W2
12. Form W2G
13. Box is checked at the top of Summary form.
14. Form 1099 MISC (linked to the Schedule C with Box 7 red)
15. Form 1099 R
16. Form 1099G Workssheet F/S Tax Paid - Estimated Tax Payments made for the Current Tax Year
17. Schedule EIC Worksheet
18. Form 2210, Zero inserted on line 9 to block calculation of penalty for under withholding
19. Gen Use, used to solicit consent under 7216 (Consent to use personal Income Tax Information)
20. Gen Disclose, used to solicit consent under 7216 (Consent to disclose personal Income Tax Information)
21. Form 8879, "IRS only" and "Print Signature" boxes will be checked

To complete the template:
- Main Info- Preparer Information section- add name of site to the Preparer's name line & add the SIDN to the PTIN box.
- Check with your individual States to determine additional requirements.
- Form 8879 will need the EFIN entered at the top as well as the SIDN in the PTIN box, at the bottom of the form. In addition, the name & address of the site must be added to the Firm's name & address at the bottom section of the form. Ctrl + spacebar or F3 should be used to remove the red in the EIN field.

To edit Return Templates, use the following steps:
- Any information required in your state's template needed to conform with MeF.
1. Click the Edit button next to the new return template.
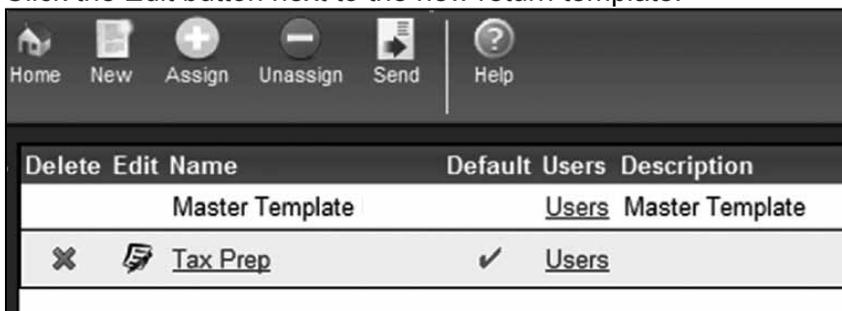
First create the template, then Edit, and last... Assign to new users!

TaxWise Online automatically displays the Main Information Sheet:
The yellow color of the border indicates that you are in Return Templates.
Any changes made to Return Templates will only affect subsequent returns.
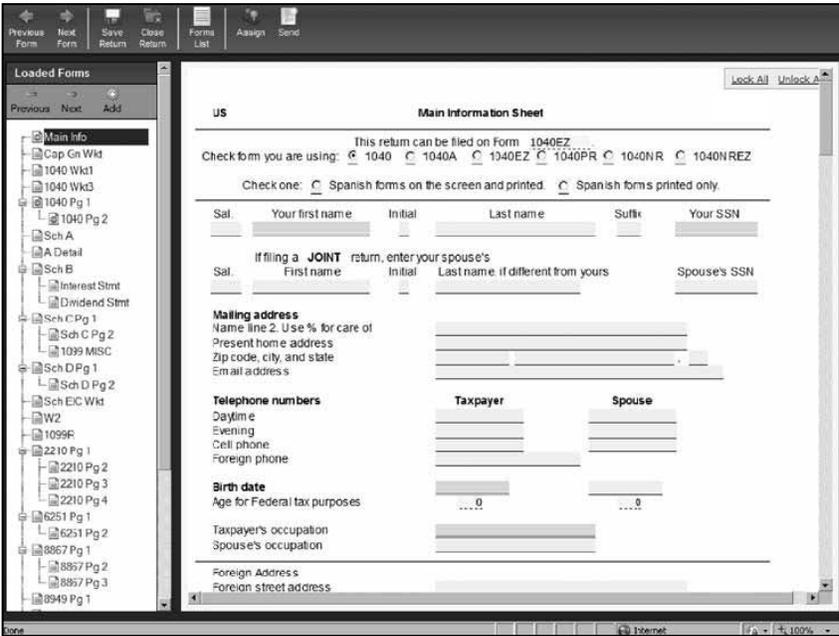
Adding Additional Forms
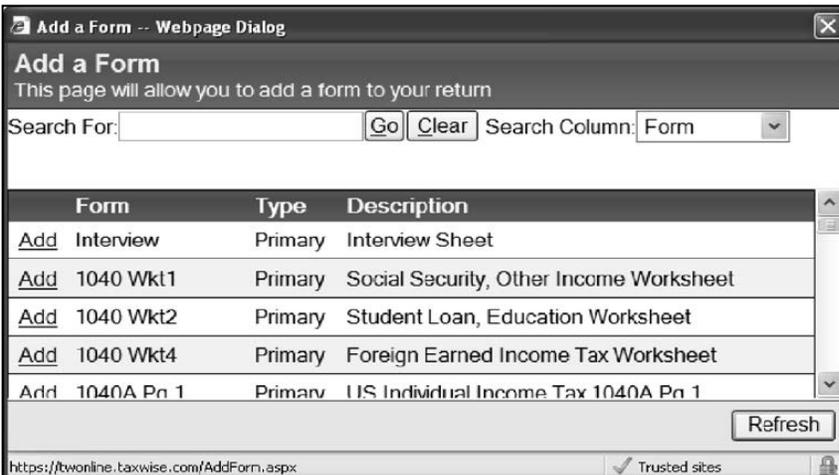
- Click the Add a Form button to load any additional forms.
- Click Close on the tool bar.

Now you are ready to assign this Return Template to your users.

Assigning the Return Template

In most cases, selecting the template as the default is all that is required. The default template will be used for all new returns created by any user.

If there is more then one template set up for different reasons, then click Assign to assign Users to templates. If Users are not assigned to a template, TWO will assign the User to the Default Template.

- Select Assign on the toolbar.
- Select the newly created return template.
- Select users.
- Click "Assign".
- Click "OK" to confirm.
- Click "Close".
- Click "Home" on the toolbar.

User Defined Return Stages
(Refer to Chapter 7 in the TaxWise Online User Guide for more details)

Return Stages must be created by the user with ADMIN role assigned and will be accessible to all other users.

Return Stages can be used to mark and follow the process of the returns created by users at the site.

To create User Defined Return Stages:

1. Login as ADMIN or any user that has been assigned the Administrator role
2. Select Settings on the toolbar.
3. Select Return Stages by clicking on Return Stages in the tree at left.
4. Type in the Return Stage in the bottom box.
5. Click Add.
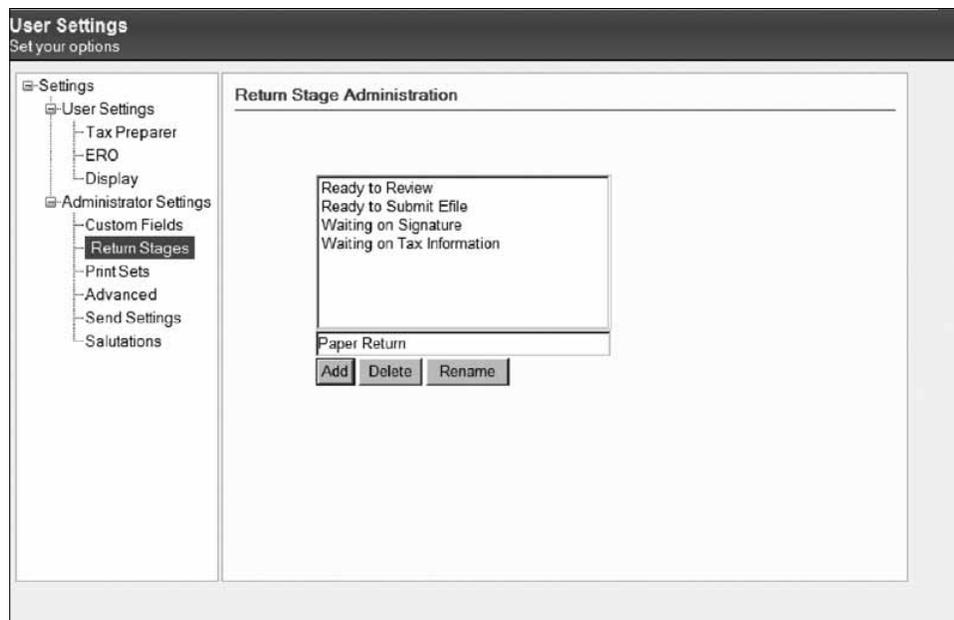
Once all the return stages for your site are entered, select the Save and Close button. Below is a list of possible return stages:

- Ready to Review
- Ready to submit *e-file*
- Waiting on Signature
- Waiting on Tax Information
- Paper Return

Returns can be sorted by the Return Stage by clicking on the Stage header, in ascending or descending order.

User Defined History List
(Refer to Chapter 7 in the TaxWise Online User Guide for more details)

User Defined History list for the Preparer Use Fields on the Prep Use Form in TaxWise® Online will be available for new and existing returns once it has been created by the administrator.

1. Login as the ADMIN user or any user that has been assigned the Administrator role.
2. Select the Settings button.
3. Select Custom Fields from the User Settings Tree.
4. Select the Preparer Use Field you wish to update by clicking on Edit.
5. Enter up to 25 entries in the blank entry column. Once a history list has been created, it is considered a locked list. The preparer will only be able to use entries that are contained in the list.

If the preparer use field is to be required, check the required box for that particular field. Once your entries are complete, click on "Update." The updates are saved and you are returned to the pick list.

Once you have made all necessary additions and/or changes, click on the "Save and Close" button.

NOTE: Administrators have an option to carry forward the Preparer Use Form during the prior year carry forward process from the Advanced Settings Page.

CAUTION: If the dialog box does not close after selecting the Save and Close button, review your entries to make sure they do not exceed the maximum number of characters.

TAXWISE ONLINE FILING SEASON

TaxWise Online Homepage

The following illustration depicts the TWO Homepage while logged in as a user with ADMIN privileges.
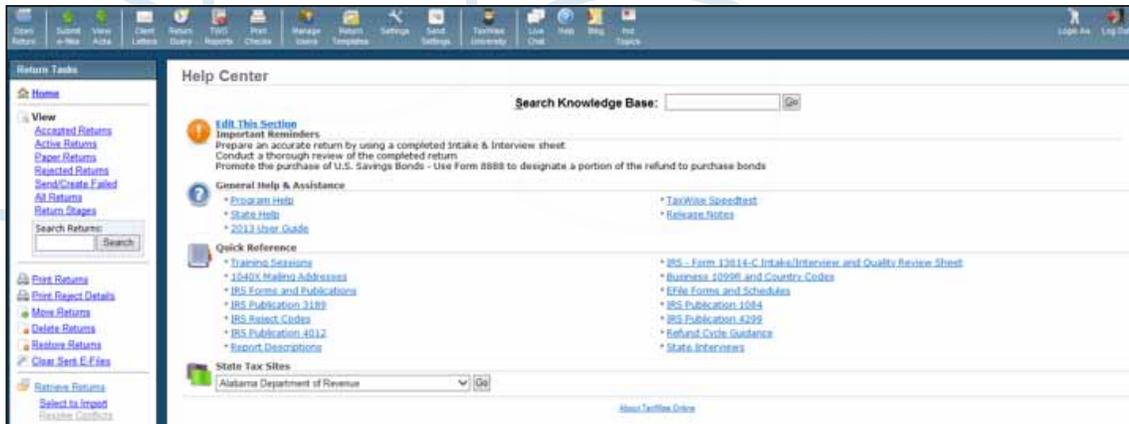
Using Shortcut Keys

Command	Description
F1	Opens TaxWise Online Help
F3 or Ctrl + Spacebar	Estimates and un-estimates an entry
F8 or Ctrl + Enter	Overrides an entry (Override rights must be enabled)
F9	Creates a link
F11	Minimizes the Internet Explorer toolbar
F5	Refreshes the page
Ctrl + E	Jumps to Next Required Entry
Ctrl + I	Inserts row on a multi-line statement or worksheet
Ctrl + R	Removes row on a multi-line statement or worksheet

Using the Carry Forward Function

In TWO there are no preliminary steps needed to perform carry forward. Click on the "New Return" button and enter the SSN for the taxpayer whose information you want to carry forward. You will receive the message below with the option to use carry forward, create a new return or close this window.

If you select "Use Carry Forward" the return will open with the prior year information showing. If there are no further steps to take, simply verify the information, note any changes and complete the return as normal.

Password Reset
(Refer to Chapter 7 in the TaxWise Online User Guide for more details)

If you enter the password incorrectly you will get the message "Login failed". You have the option to Click the here link at the top or click the "Reset Password" link at the bottom.
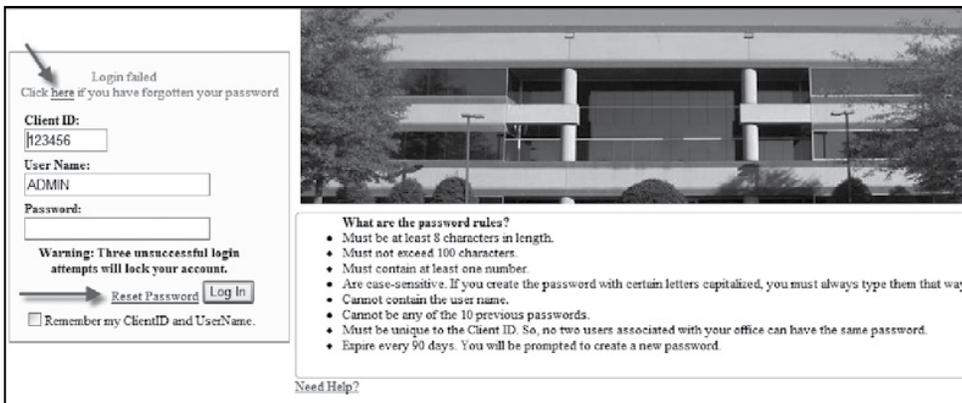
**You have three attempts to enter the password and then the account will be locked.**

 This is not per session, it is a continuous count.

If the ADMIN user or any created user account becomes locked, you now have the ability to unlock your own account.

If you click the "Need Help" link from the Log In Failed screen. Select the link for "I forgot my password or it expired, how do I reset it?"
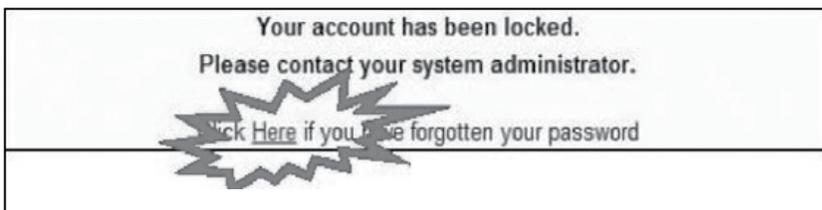
You will see a message letting you know that the password has been reset. Your password was reset to the original password.

- As the "ADMIN" user, the password will be reset to the 20-digit registration code.
- For other users, the password is reset to the User Name.

Additional options for changing the ADMIN password:

- 3 attempts to enter the answer to the security question
- Enter the email address on file for the ADMIN user

If the email address matches the email address on file for the ADMIN user, the password will be reset to a temporary password:

- Emailed to the email address on file for the ADMIN user
- Automatically requires the password to be changed

If the email address does not match, check with your SPEC relationship manager to determine what email address was used with the software order.

> **NOTE:** **Each time the ADMIN password is reset you will be required to accept the TaxWise Online License Agreement.**

In addition, as the administrator, other users can be reset by selecting the "Manage Users" button, then
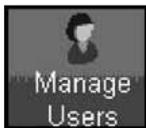
- Click the "Reset" link at the end of the username. This will reset the password back to the username.

State Help

There are three options for State tax help in TaxWise® Online:

1. Under "General Help & Assistance", there is a hyper-link for state tax help.
2. Use the "Search Knowledge Base" box located at the top to find the State help files that are maintained in the TaxWise® Knowledge Base. Type the name of the state and any other information you are looking for, such as a form or tax law topic. Once the appropriate information is located, click on the PDF link to open the file.
3. State help is also linked to the TWO homepage. This link will take you directly to the appropriate state's website.

Quality Review

As the ERO, you can provide assistance and support to the volunteer site coordinator in several ways to ensure return accuracy. Please refer to the Guidelines section "*e-file* Quality Review".

Running Diagnostics and Creating an e-file
(Refer to the TaxWise Online User Guide for more details)

After you enter all the data in a tax return, review all the forms and ensure that each form is complete, you are ready to run Diagnostics.

For returns that you do not e-file, Diagnostics reviews the federal and state returns for tax inconsistencies, omissions, overridden, and estimated entries. For returns that you e-file, Diagnostics also looks for electronic filing errors in both federal and state returns, if applicable.

To run Diagnostics, click the **"Run Diagnostics"** button on the toolbar.

TaxWise reviews the return and displays the Diagnostics Report in a separate window at the top of the Workspace. You can scroll through the report and review the information.

The Diagnostics screen is divided into six sections:
1. Electronic Filing Errors
2. Warnings
3. Overridden Entries
4. Estimated Entries
5. Forms to be e-filed

TaxWise Online may not display all six sections on every Diagnostics Report.
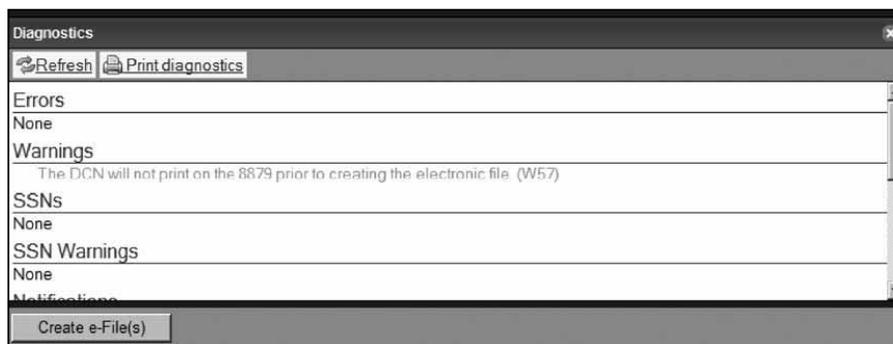
During the e-file creation process TaxWise performs an additional check of the returns and reports any validation errors found. Validation errors can include special characters such as #, !, $ and/or additional spaces in the return.

Taxpayer Diary

The taxpayer diary allows preparers to make notes about the return. To create a note in the Taxpayer Diary:
• Click **Taxpayer Diary** icon
• Click **add a note**
• The diary will automatically record the user, the day, date and time
• Click **Save** to save the note

- Click **Print** to print a copy of the note
- A new icon will appear in the Existing return list to the left of the TIN
- Clicking **More** opens the Taxpayer Diary
- Diary will carryforward

Setting the Return Stage

Return stage helps to manage the returns. While a return is open the **Return Stage** can be set by selecting the **Return Summary** icon on the toolbar.

The return stage can also be set when the return is closed from the Return list. Simply select the stage in the **Stage** column from the dropdown list. Keep in mind, the return stages must be set, as discussed in the TWO Pre-Filing Season section of this publication.

Print Sets
(Refer to the TaxWise Online User Guide for more details)

Select from 3 different types of print sets or create your own print set. You have the ability to choose 1 print set, multiple print sets or your own customized print set.

1. Login as **ADMIN** or any user that has Administrator privileges
2. Select the **User Settings** icon
3. Select **Print Sets**

Choose the applicable sets you want printed with each return:

- **Primary Forms**: Prints completed Federal and State forms excluding the Main Information Sheet, the Interview Sheet, completed worksheets and income detail sheets such as W-2 detail and 1099 detail.

- **Completed Forms**: Prints all completed Federal and State forms.

- **Signature Forms**: Prints 2 copies of Federal Form 8879 required for electronic filing. Sites are no longer required to retain Form 8879.

- **Create My Print Sets**: Lets you select which forms and how many to print. This can be used in addition to one or more of the other print sets. For example, for quality review the Main Info Sheet is needed. You can select Primary Forms & then add just the main info sheet in the My Print Sets.

- Select the Close and Save button at the bottom of the screen.

Printing Returns
(Refer to the TaxWise Online User Guide for more details)

- The pop-up blocker must be disabled.
- Adobe 8.1 or higher is required to print returns.
- Returns can be printed from the User Homepage by selecting print return in the return tasks link.

To print a return when it is open, you can click the "Print Return" button on the task bar. A box will pop up where you will click on the "Download PDF Return" link.

> **NOTE:** Be sure to select "open" and not "save". Selecting "save" will cause an error requiring the print return process to start over again.

Once the Adobe file opens you can select to print by clicking on the Printer icon on the task bar.

> **NOTE:** This will print the entire return. To print a specific page, identify the page number, change the print range, and increase the number of copies for that page.

Select **"cancel"** to cancel the printing process.

Submitting Efiles
(Refer to the TaxWise Online User Guide for more details)

When you are ready to submit returns for E-Filing, click on the Submit-E-File button from the tool bar. The E-file report below will generate.
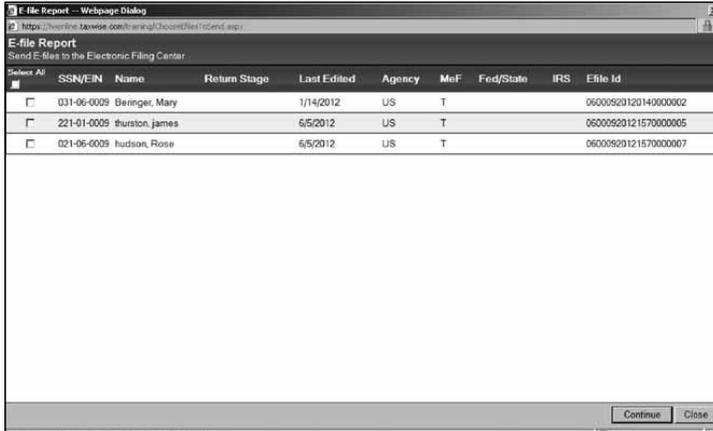
1. Select the check box(es) beside the tax return(s) you want to *e-file*.
2. Click **Continue**

TaxWise Online displays the following dialog box:
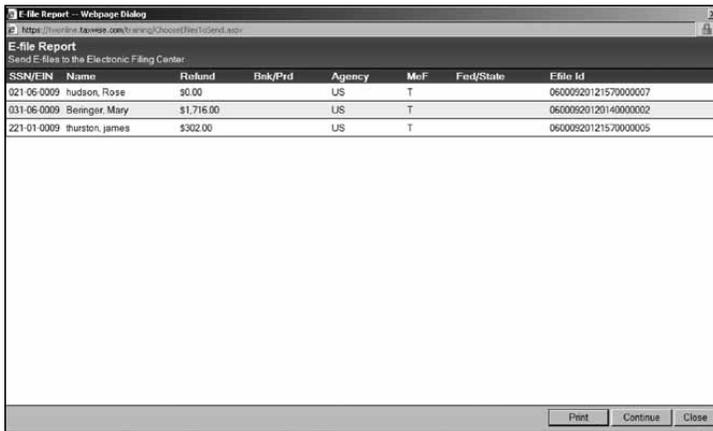
Notice that TaxWise Online assigns a submission identification number to the tax return.
3. Click the **Print** button.
4. Click **Continue**.

TaxWise Online displays a dialog box indicating that the returns were successfully e-filed.
5. Click the **Close** button.

Viewing Acknowledgments
(Refer to the TaxWise Online User Guide for more details)

The acknowledgment is available as soon as the IRS or state acknowledges the return. The acknowledgments will normally post within an hour.

To view acknowledgments, use the following steps:

1. Click the **View Acks** button on the toolbar.

TaxWise Online displays the **Acknowledgments** dialog box:

2. Click the **Print** button to print the acknowledgment (recommended).
3. Click **Close**.

The acknowledgment displays the following information:

- **Date** – date of acknowledgment
- **TIN** – taxpayer's social security number or Tax Identification Number (ITIN)
- **Name** – taxpayer's name
- **Ack Type** – federal or state acknowledgment
- **Refund** – displays the refund or balance due
- **Status** – displays Accepted or Rejected
- *e-file* **State** – displays the state associated with the Ack Type
- **Sig Doc** – For sites that use both the Practitioner PIN and Self-Select PIN, the IRS ACK

Report has been modified to distinguish which method was used to file the return. Under the column entitled SIG DOC you will find the following:

- **8453** - If attachments are to be mailed using Form 8453
- **SO** - If the return was sent as a State-Only return to IRS
- **SSP** - Indicating the return was filed with a Self-Select PIN signature alternative
- **PP** - Indicating the return was filed with a Practitioner PIN signature alternative

- **EIC Ind** – If the EIC Indicator displays Y, then the EIC portion of the refund is held until the certification documents are submitted to the IRS for approval.
- **SVC Center** – Displays the IRS Service Center that accepted or rejected the return.
- **Submission ID Number** – assigned by TaxWise® Online.

You can sort the acknowledgments by clicking the column titles.

Federal and state acknowledgments will be displayed on separate pages.

Rejects
(Refer to the TaxWise Online User Guide for more details)

Rejected Returns						Include Returns From All Users
TIN	**Name**	**US e-file**	**State e-file**	**Stage**	**Edited**	**Username**
100-18-0798	JOHNSON, John	Rejected	Rejected	CORE		
101-18-0798	Jones, Lisa	Rejected	Rejected	CORE		
102-18-0798	Johnson, James	Rejected	Rejected	CORE		
103-18-0798	Jones, Lisa	Rejected	Rejected	CORE		
106-18-0798	Johnson, James	Rejected	Rejected	CORE		

There are several methods of identifying rejected returns.

(1) The rejects are listed on the Acknowledgment report.

(2) Click on the Rejected Returns link from the Return Task section of the home page. This will display all rejected returns.

Fixing Rejects

The majority of errors that cause rejections are due to (a) incorrect SSN(s) (b) not spelling names correctly (c) incorrect EINs of employer or payer names. For each rejected return the IRS reject code, an explanation, and suggestions for fixing the return is provided. See **Exhibit 4** for the list of the most common rejects.

- Fix all *e-file* errors.
- Run diagnostics.
- Create *e-file* if no further errors are detected.

If the return does not involve a change in name or SSN of the taxpayer or the dollar amounts are less than the amounts listed below, the return may be re-transmitted without further contact with the taxpayer.

Rejected returns can be corrected and re-transmitted without new signatures on the Form 8879 or a new Self-Select PIN if changes are not more than:

- $50 to "Total Income" or "AGI" or
- $14 to "Total Tax," "Federal Income Tax Withheld," "Refund" or "Amount You Owe."

If the changes are more than the amounts listed above, the taxpayer must be contacted and must sign a new Form 8879, or enter a new Self-Select PIN, <u>before the return is re-transmitted</u>. Even though the Form 8879 is not retained by the site the taxpayer still needs to sign a new Form 8879.


Some errors causing a rejected return cannot be fixed without contacting the taxpayer. If the IRS rejects the electronic portion of the taxpayer's individual income tax return for processing and the reason for the rejection cannot be rectified, the site coordinator or designee must take reasonable steps to inform the taxpayer of the rejection within 24 hours. If the taxpayer chooses not to have the electronic portion of the return corrected and transmitted to the IRS or if it cannot be accepted for processing by the IRS, the taxpayer must file a paper return.

In order to be filed timely, the paper return must be filed by the later of the due date of the return or ten calendar days after the date the IRS gives notification that the electronic portion of the return is rejected or cannot be accepted for processing. The paper return should include an explanation of why the return is being filed after the due date. (See **Exhibit 5** Sample Reject Letter.)

Deleting Returns

From the Homepage or the Return page, click on the **"Delete Returns"** link.

The following page will be displayed showing the available returns for deletion. Select the return for deletion and click the **"Delete"** button.
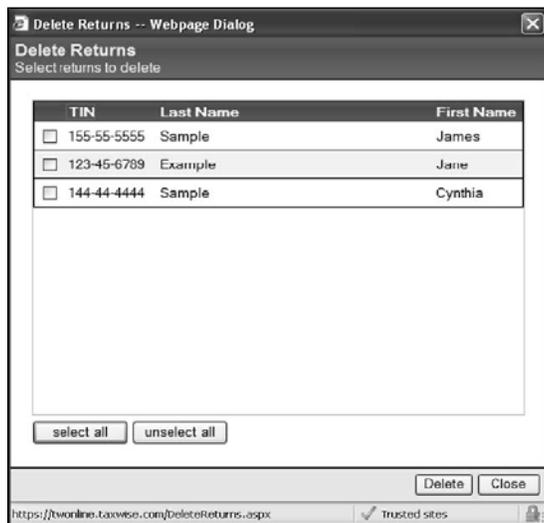
A warning will be displayed, select "OK". The "Delete Returns Results" box will display to confirm the deleted return(s). Click **"Close"** and the return(s) will be deleted from your list of returns on the Return page.
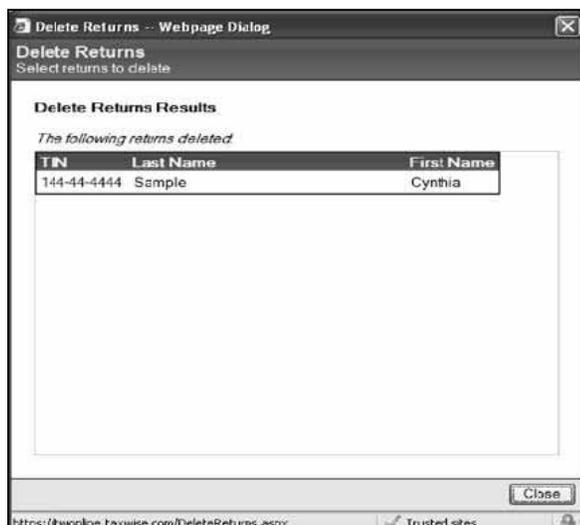
Restoring Deleted Returns

There are two ways TaxWise Online will restore the last edited version of a deleted return.

1. Select "New Return" from the toolbar.

   • Enter SSN twice for validation:
     – Select **Go to Tax Forms** or
     – Select **Go to Interview** or
     – Select **Close** to cancel the process

   • You will be prompted to restore the previously deleted return:
     – Select **Restore Return** to the last edited version of the deleted return
     – Select **Create New Return** to start a blank return
     – Select **Close** to cancel the process
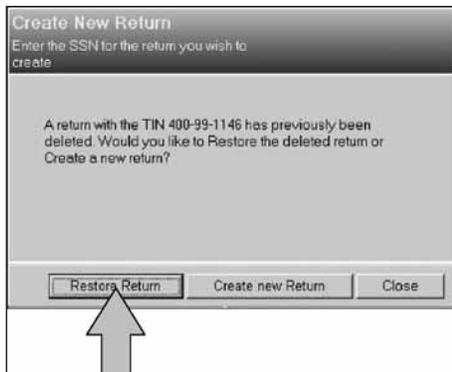
2. From the Homepage, click on the "Restore Return" link (This can only be done by the ADMIN or a user with administrator role assigned).

Multiple Deleted Returns can now be restored using the Restore Return feature.
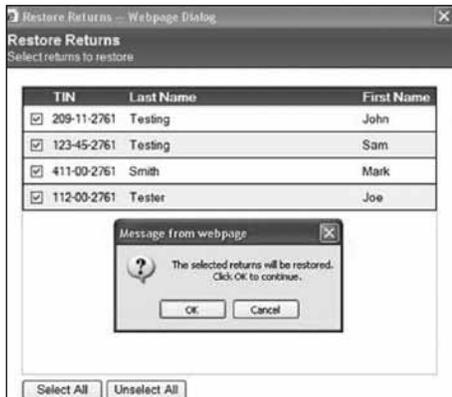
Generating Reports

Taxwise Online allows the user to access site specific reports from the Customer Support Site without repeating the login process. To access reports, use the following steps:

1. Click on the **TWO Reports** button.

2. Click the **Generate** button beside the desired report
3. The report status will change to **Pending**
4. When the report is complete, the status will change to **Complete**. (This step could take up to an hour)

Reports					Refresh
Name		Status	Last Generated	Download	
1040X Report	Generate	None			
Awaiting IRS Ack Summary	Generate	Complete	1/24/2012 3:56:34 PM	🖹	
Awaiting State Ack Summary	Generate	None			
Client List w/o SSN	Generate	None			
Daily Tax Program Statistics E-File (part 1)	Generate	None			
Daily Tax Program Statistics E-File (part 2)	Generate	None			
Daily Tax Program Statistics Paper (part 1)	Generate	None			
Daily Tax Program Statistics Paper (part 2)	Generate	None			
EfileID Report	Generate	None			
IRS Electronic Filing Summary	Generate	None			
IRS Summary Report (acceptance)	Generate	Complete	5/4/2012 11:04:37 AM	🖹	
Military Preparer Summary	Generate	None			
NTA Label	Generate	Complete	5/22/2012 2:12:49 PM	🖹	
NTA Statistical Data	Generate	Complete	5/22/2012 2:13:01 PM	🖹	
Outstanding IRS Rejects Report	Generate	Complete	1/22/2012 8:14:43 PM	🖹	
Prep Use Field	Generate	Complete	5/22/2012 2:40:29 PM	🖹	
Return Information Detail	Generate	None			
TWO (E-File) Returns Created by Date and Username	Generate	None			
TWO (Paper) returns created by date and username	Generate	None			

5. The user may then choose to **Download** the report by clicking the link under Download.

Reports are downloaded into .csv file format. These files can be opened and viewed with MS Excel. Once the file is opened, it can be printed and/or saved as an Excel file.

TaxWise Online (TWO) Alternative Preparation Solution

The Alternative Preparation Solution (APS) was implemented by TaxWise after receiving requests from preparers for a way to continue preparing returns without having an internet connection available or in the event of an outage at CCH Small Firm Services. The TaxWise Online registration code will activate limited feature sets in desktop for return preparation, printing and transporting into TaxWise Online. The TW Desktop product must be registered with the TaxWise Online registration code for the APS to be activated. Below are some features of the APS:

Create the Return in TaxWise Desktop and Mark it to Transfer into TaxWise Online

- Users have the ability to prepare and print federal and state returns
- Print signature copies for the taxpayer to sign
- Keep TW Desktop updated with current Program and Federal modules
- After completing the return in TW Desktop, users will run diagnostics
- The return ***does not*** have to pass diagnostics to be marked for transfer
  - The ADMIN user or any user with the Administrator role has access to the **Retrieve Returns** link under **Return Tasks**
  - The return(s) must be created with the ***minimum*** version required for sending e-files
  - Users will choose the **Select to Import** option
  - Select the ***desired return(s)*** to be retrieved
  - Choose a user from the **Select a user** drop-down list
  - Click the **Move** button to move the returns to the selected user
  - To discard the returns select the **Delete from retrieve list** option

TaxWise Desktop Automatic Updates

In order for APS to work successfully it is important for the sites to keep their computers updated with the latest Desktop software version. TaxWise Desktop allows users to get updates on an automated scheduled basis, so all updates can be downloaded before the site opens. This feature will assist users in keeping their TaxWise Desktop software updated in the event they need to use APS.

See **Exhibit 9**, TaxWise Desktop Automatic Updates Instructions, for guidance.

TAXWISE ONLINE POST-FILING SEASON

TWO End of Season Procedures

TWO Security

TWO End of Season Procedures

Reports

Since TWO is a web based service there are no reports that will be required to be forwarded to your SPEC local office. If information is needed your SPEC Relationship manager will contact you with a specific request.

TWO Security

For off-season security all users, other than Admin, should be made inactive. Alternatively, the user's role can be changed to Return Preparer, and all tax returns removed from these user's accounts. This will allow the user to access the TWO Training website to practice during the off-season without accessing any taxpayer data. Consider keeping some users active with a superuser role. This will enable them to assist clients with questions or prepare an amended return, if needed.

To make a user inactive or change their role:

- Click on the **Manage Users** button on the Tool Bar to select the user you wish to make inactive or modify their roles.
- Select **Edit** for each user that needs to be deactivated or their role changed.
  – To make inactive uncheck "Is Active User" box
  – To remove roles select role from "Assigned Roles" and move to "Possible Roles".

It's easier to move all of the returns to a user with **ADMIN** privileges that will still be active as a **Super User** rather than selecting individual returns and moving them from a specific user. To move all the returns to a user:

- From the TWO Home screen click on **Move Returns** on the left side.
- Select the **User** to move the return to in the drop-down box at the top of the screen.
- Select **All Returns** and click on **Move** at the bottom of the screen.
- A new screen will confirm that the returns have been moved.

Record Retention: refer to the Signature Methods and IRS Recordkeeping section of this publication for instructions.

TAXWISE
PRE-FILING SEASON

Before Installing TaxWise

Installing TaxWise Software Product

Support Site/Knowledge Base

TaxWise Staff Support

Setup for TaxWise

Registering the Software

Transmitting Returns for Multiple EFINs

Prior Year Software EFIN and Registration Codes

Setting Tax Form Defaults

Most Commonly Linked Forms and Worksheets

Setting Print Packet Defaults

Security Manager - New Group called Preparer

User Name and Password Security

Downloading Federal Updates

Downloads and Updates of State Software

Transferring Federal and State Updates to Non-Transmitting Computers

Restoring Prior Year Data

Prior Year Carry Forward

Before Installing TaxWise

Every effort should be made to protect all computers and tax preparation software with a "strong" and unique password. Use passwords that have at least eight characters and include numbers or symbols. The longer the password, the tougher it is to crack. A 12-character password is stronger than one with eight characters.

Avoid common words: some hackers use programs that can try every word in the dictionary. Don't use your personal information, your login name, or adjacent keys on the keyboard as passwords. Change your passwords regularly (at a minimum, every 90 days). Don't use the same password for each online account you access.

Installing TaxWise Software Product

- Verify that you have permission to load software to your computer.
- Close any programs you have open. It is suggested that you turn virus protection off for non-IRS computers.
- Insert the CD in the CD-ROM drive.
- Normally the program will start automatically. If not, click the "Start" button, select "Run", and type the following: CD-ROM drive letter:\Startup e.g. "D:\Startup" Click "OK".
- On the main menu screen, click "Install".
- The "Choose Setup Language" screen will be shown. Click "OK" to accept English or change as needed.
- Click "TaxWise 20XX". If you have the prior year files loaded on your computer, you will be asked about bringing forward prior year data. Answer "yes" or "no" according to your own needs. If needed, call CCH Customer Service at 1-800-411-6391 for assistance.
- Click "Yes" to Product Agreement.
- Choose a drive letter to install to. Normally this is drive C. Click "Next".
- Select Workstation.
- Normally, you would answer "No" to Network. (If setting up network, check "yes" and see below.)
- TaxWise prompts you to restart your computer by displaying the message box "You should restart your computer before running TaxWise." Click "OK".
- When Windows restarts and TaxWise completes its installation process and displays the message box "Installation complete. Would you like to run TaxWise now?"
- Click "Yes" to launch TaxWise.
- Click "No" to return to Windows.

Installing TaxWise to a network:

Make sure your network is functioning properly before attempting to install TaxWise Desktop. For more information please refer to the TaxWise User Guide.

Setting up additional workstations on a network

After you have completed the Setup screens on the server, you must setup additional workstations where TaxWise will be used. For more information please refer to the TaxWise User Guide.

If you are experiencing network problems, you might want to try the following:

(Including 545: Error writing to setup, error reading database, or desktop shortcut does not work.)

Ensure that your network drive is visible when you double click "My Computer". If it shows with a red "X," there was a problem connecting to the network drive.

- Right click on your TaxWise desktop shortcut.
- Select Properties, and check that the Target and Start windows on the Shortcut tab point to the proper locations.

> **NOTE:** If you are a TaxWise Online user follow the steps above to install the TaxWise Desktop product. Register the TaxWise product with your TaxWise Online registration code. This will allow the Alternative Preparation Solution to be active in the event of an internet outage.

> ▶**TIP**: For more information on Installing TaxWise, please refer to the TaxWise User Guide.

Support Site/Knowledge Base

24 hours a day, 7 days a week, the Customer Support Web site provides information that is essential for daily operations. If you have Internet access, your secure Customer Support page on our web site is your best source of up-to-date information about:

- State software delivery
- Federal and state updates
- Your shipments
- Tax return status
- TaxWise Reports

Accessing Customer Support

1. Click the Solution Center/Knowledge Base tab.
2. Click the Launch TaxWise Solution Center button.
3. If you have not entered the Customer Support site, TaxWise displays the Welcome screen.
   - You can also access the Solution Center by going to http://www.taxwise.com and clicking Support Login or by typing http:// Support.taxwise.com.

The **TaxWise Knowledge Library** is another source that can be used to answer your questions.

TaxWise Staff Support

Through your e-mail or Send Mail to SFS Support

Send messages to the Client Support staff via e-mail or **Send Mail to SFS Support** 24 hours a day. You will receive a response by the same method within 24 hours. **Be sure to include your name and EFIN or Client ID number and a detailed description of the problem**. Use one of the methods below.

- Send your message through your regular e-mail service (Outlook, Hotmail, etc.) to customer.support@cchsfs.com. Your reply will come to the e-mail account you sent your message from.
- From the Support page on the Customer Support Web Site, click the category that fits your problem. This will auto-address an e-mail to Customer Support. The reply will be to your regular e-mail account.
- To use **Send Mail to SFS Support**, log into TaxWise. On the home page, under Communications, click **Send Mail to SFS Support**. TaxWise opens the e-mail message in a separate browser window. You will get a reply through your e-mail address that you enter in the browser window.

> For Tax Year 2014, Taxwise deployed a new set-up wizard. See Taxwise User Guide or Taxwise Webinar lesson for instructions.

Setup for TaxWise

If the setup screens do not come up automatically:

- Select user name "Admin".
- Do not enter a password.
- Click "OK".
- If a screen appears with various tax packages, only 1040 package is authorized. Click on the box for "Do Not Auto Show." Click "OK".
- Go to "Tools".
- Select "Utilities/Setup Assistant".
- Select "Setup".
- Select "Setup Assistant".

Company Tab

Figure 1

- Enter your EFIN.
- Enter the contact name, site name, site address, and contact telephone number. For company name field enter your site name as shown on the EFIN application through e-Services..
- Do not complete the Federal EIN box.
- Click "Next".
- If you are using TaxWise on a network, select the Save as Workstation Defaults check box to ensure that all of your settings carry over to each workstation on the network.

General Tab

Figure 2 (screenshot from tax year 2013 software)

- If the site uses a network, see "Installing TaxWise to a Network," covered previously and check "Network" under 1 above. For More information on **Network Option**, Please refer to the TaxWise user Guide.
- You should enter a Current MeF Submission ID on each non-network computer.

  For example, if you have two non-network computers in your office plus a laptop which you use in clients' homes, you might pre-set the **Current Submission ID** on each machine as follows:

  – On computer #1, leave it at one.

  – On computer #2, change it to 10000.

  – On computer #3, change it to 20000.

This does not apply if you are networking the site.

▶**TIP: For More information on Current Submission ID, please refer to the TaxWise User Guide.**

- Miscellaneous Options: Only the, "Display User-Defined and Auto-Populated history lists" box should be checked. Click "Next".

Printer Setup Tab

Figure 3

- Select "Windows: Standard for the most common printers."
- Select a default printer by clicking the down arrow and select the printer installed with your computer. Also, make sure the printer is set as default in Windows.
- Under "Options," select "Print Tax Returns in ALL CAPITAL LETTERS." Any other options can be selected or de-selected based on your preference.
- Click "Next."

If you can't print, you might want to check the following:
- Can you print from other applications?
  – Try to print a test page from Word/Notepad.
  – If this doesn't print, the problem is somewhere between the printer and Windows rather than within TaxWise.

- **Is your printer driver set up correctly to work with TaxWise?**
  - Select **Start>Settings>Printers**.
  - Right click on your printer and choose **Properties**. Click the **Details** tab.
  - Click the **Spool Settings** button.
  - If the spool data format is **EMF**, try RAW.
- **Is your printer set up correctly in TaxWise?**
  - From TaxWise, select **File>Printer Setup**.
  - If you are using the Windows printing method, try switching to PCL. If you are using PCL, try using the Windows method.

If there are J's, G's, K's and other stray characters printing on your forms, you might want to consider the following:

- The necessary fonts are not loaded to your laser printer.
  - Select "File Printer Setup".
  - Check the "Auto load soft fonts" box. This will send the fonts to your printer before every print job. This option is only available if you use the PCL print method with a laser.

▶**TIP:** **For more information on printing options, please refer to the TaxWise User Guide.**

Color Setup Tab

Figure 4

- The Classic Color Setting is recommended.
- If using the default color setting, the following modifications are recommended:
  - Select "My Custom Colors".
  - Select the "Required Entry" item and set the bottom borderline width to "4."
  - Select the "Calculated Entry" item and set the bottom borderline width to "4."
  - Select the "Overridden Entry" item and set the bottom borderline to "4"; then set the color to light grey.
- If you are using TaxWise on a network, select the **Save as Workstation Defaults** check box to ensure that all of your settings carry over to each workstation on the network.
- Click "Finish" to save work any time changes are made to "Setup Options."

Registering the Software

When you close the Setup screens, the Register Software box appears.

Figure 5

- Your EFIN should show in the first box. If it doesn't, return to the first setup screen and fill in your EFIN.
- Enter your Registration Code from the Fulfillment Confirmation Slip.
- Click "OK".
- The TaxWise Login Page will appear.

If the Register Software screen does not appear:
- Go to "Tools".
- Select "Utilities/Setup Options".
- Select "Setup".
- Select "Register Software".

NOTE: Tax preparers sometimes receive an error message stating that the "return is not registered". Follow the instructions below for resolution of this problem.

If tax preparers encounter the following error message: *"Return is not registered"* this indicates that the EFIN on the Company screen of the Setup Options does not agree with the EFIN listed on Form 8879 of the return, or the EFIN does not have a valid registration code.
- First check to make sure that the same EFIN is used on Form 8879 and on the Company setup screen.
- If this still does not correct the problem, check to make sure your EFIN and registration code are both correct.
- Then, the **ERO should call CCH Customer Service at 1-800-411-6391** to discuss the problem.

Transmitting Returns for Multiple EFINs

In order to transmit returns for multiple EFINS, the site must secure a transmit code (XMIT). Transmit codes should be secured at the time the software order is placed. The following procedures are used when one site's EFIN will be used to transmit returns for multiple sites (EFINs). The returns will retain the originating EFIN and each EFIN will receive credit through Andover, TaxWise, etc., for the returns that were created under their own EFIN.

Example: EFIN 999100 will transmit returns for EFINs 999200, 999300 and 999400:

- When the software is received, EFINs 999200, 999300, and 999400 will receive a registration code and XMIT code.

- After loading the software for EFIN 999100, complete the Setup Screens and register the software as the steps have previously shown. Also, setup defaults and USER Names for the specific site. Then EFIN 999100 will need to:

  1. Go to "Tools".

  2. Select "Utilities/Setup Options".

  3. Select "Setup".

  4. Select "Register Software".

  5. Delete EFIN 999100 and enter EFIN 999200, tab to the Registration Code field and enter the associated Xmit Code.

  6. Repeat steps 4 & 5 and check OK after each entry for each additional EFIN that 999100 will be transmitting returns for.

> **NOTE:** You must enter defaults and USER Name for each site associated with each EFIN separately.

Figure 6

- If you did not indicate the transmitting EFIN when ordering software or you did not receive your XMIT code with your order, you can contact the TaxWise Customer Service Number, **1-800-411-6391**, or your local SPEC Relationship Manager for assistance.

Prior Year Software EFIN and Registration Codes

NOTE: The TaxWise software product includes the current and prior year software. If you need a year other than the current and prior year, you can contact CCH customer support desk for assistance.

Sites are encouraged to prepare prior year returns. VITA/TCE volunteers may only prepare returns within the scope defined for their level of training. Taxpayers seeking assistance outside the scope of the volunteers' certification should be referred to a professional tax preparer.

If e-filing prior year returns continue to use your EFIN and registration code assigned for that year.

Contact your SPEC Relationship Manager if their is a need for a prior year registration code.

Setting Tax Form Defaults

Tax Form Defaults are used to enter information that users of TaxWise want to appear in all tax returns. Only the Admin user can enter tax form defaults. When the Admin user creates new unique user names in Security Manager, TaxWise automatically copies the tax form defaults to the new unique user name. In the default return, you can open any form and enter information that you want to appear in all new returns.

Do not prepare an actual tax return while in Tax Form Defaults.

Do not put users into a group in which they can set their own defaults until you have set the defaults that you want for all users in the "Admin" user.

Setting unique defaults for specific users will be covered later. CCH will **pre-set** most required Tax Form Defaults as identified in this Publication. This should result in reduction in the time required for set-up by volunteer EROs. The ERO will need to enter the site's unique Site Identification Number (SIDN) and EFIN during set-up. Volunteer EROs will have the ability to set additional defaults and remove pre-set defaults, if desired. For example: Use "Preparer's Use Fields" to capture data on the type of accounts where refunds are being deposited such as Checking, Savings, IRAs, IDAs, Savings Bonds, etc. See instructions below. **The pre-set defaults will be set in the *"Admin User"* only**. The pre-set defaults are:

1. 1. Main Info Sheet
    Required fields:
    • Appropriate form to Use – "1040"
    • Taxpayer's name, address, phone number, date of birth, and occupation are designed as required fields
    • Are you excluding Puerto Rico income is checked "No"
    • Return Type – "E-File Only"
    • Third Party Designee is checked "No"
    • Self –Select and Practitioner PIN(s) section: ERO Pin is entered for Self Select & Practitioner PIN of "98765"
    • Box is checked for "Using the Practitioner PIN method for e-filing this income tax return"
    • Box is checked for "The Income Tax Return"
    • "IRS only" box will be checked in the Preparer Information section
    • Preparer's Use Fields section boxes 11 and 12 are populated for Language and Disability questions

2. 1040 Worksheet 1 (Social Security)

3. 1040 Worksheet 3

4. 1040 Worksheet 7

5. Schedule A Detail linked to the Schedule A

6. Schedule B linked to the Interest and Dividend Statements

7. Schedule C

8. Schedule D

9. Capital Gains Worksheet

10. Form 8949

11. Form W2

12. Form W2G

13. Form 1099 MISC (linked to the Schedule C with Box 7 red)

14. Form 1099 R

15. Form 1099G Worksheet F/S Tax Paid - Estimated Tax Payments made for Current Tax Year
    Schedule EIC Worksheet

16. Form 2210, Zero inserted on line 9 to block calculation of penalty for under withholding

17. Gen Use, used to solicit consent under 7216 (Consent to use personal Income Tax Information)

18. Gen Disclose, used to solicit consent under 7216 (Consent to disclose personal Income Tax Information)

19. Form 8879, "IRS only" and "Print Signature" boxes will be checked

To set Tax Form Defaults:
  • Log into TaxWise using the user name "ADMIN" to change tax form defaults.

NOTE: You should set these defaults before you add user names, so that settings can be applied to all users.

If logged-into TaxWise, return to the Home Page and click on change user.
  • Change user to "ADMIN".
  • Click on "Tools".
  • Select "Edit Tax Form Defaults".
  • Highlight "1040" Package.
  • Click "OK".
  • Click "Yes" on "Any changes made will only affect subsequent new returns in this user. Continue"?
  • The Main Information Sheet automatically opens in the initial forms.

Figure 7

NOTE: _F3 "highlights" required fields or removes "highlights" from the fields. It puts the RED in or takes it out._

State Information If you are not preparing a state return, check here ☐ or fill in state information below
Full year resident: ☐   Part-year: ☐ and ☐   Nonresident: ☐ ☐ ☐ ☐ ☐

Enter the state postal code for the full-year resident state return that you will prepare for this client.

TaxWise loads the state forms in the return and displays them in the forms tree at left.

Note: You must have previously installed the state software.

Tip: For state forms to calculate correctly, you must enter state postal codes and amounts on forms W-2, W-2G, 1099-R and other income statements.

If you prepare state returns and have received your state software from TW, then enter the two letter state abbreviation in the "full year resident" box.

> **NOTE**: If you have not loaded your state software, you will receive an error message:

- State forms will not load in the TaxWise tree until you install the state software.
- You will receive a message file when creating new returns indicating the state has not been installed.
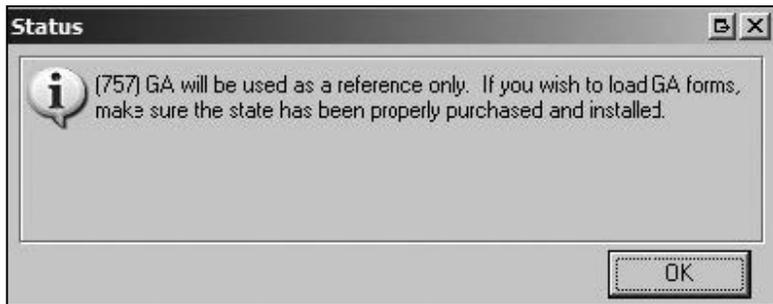

Figure 9

- Tab to "Self-Select and Practitioner PIN(s) programs".

The following are pre-set defaults; if the pre-set defaults are not set contact your SPEC Relationship Tax Consultant.

- Self –Select and Practitioner PIN(s) section: ERO Pin is entered for Self Select & Practitioner PIN of "98765"
- Box is checked for "Using the Practitioner PIN method for e-filing this income tax return"
- Box is checked for "The Income Tax Return"
  1. Put an "X" in the "I do not authorize" box and place an "X" in the box.
  2. If using Self Select PIN put an "X" in the "I do not authorize" box.

Preparer Information

Enter your site's name in the Preparer's Name field. Enter your site's unique eight digit SIDN in the PTIN field and check the "IRS Only" box. Each site has a separate Site Identification Number (SIDN) and each number must be used to count the number of tax returns prepared at that particular site. Check with your individual States to determine additional requirements.

Figure 10

Be sure the "Print Signature" box is checked. This will print your site information on the signature line.

> **NOTE:** If the SIDN is not entered on the tax return, Diagnostics will reflect a "Warning", notifying the volunteer. Corrective action should then be taken to add the SIDN, prior to creating the e-file.

- No other information is needed in this section. Exception for some states: if your state requires that a date be entered in the date field (to the right of the preparer's name field), select this field and press F3.

Form 8879 (Practitioner PIN Program)

Type in your EFIN at the top of Form 8879.

Figure 11

- **Scroll to "Electronic Return Originator (ERO) Information" at the bottom of Form 8879.**

Figure 12

- Click in "SSN" field. Press F3 to remove red. **(No data to be entered in this field)**.
- **Click in "PTIN" field. Enter the SIDN**.
- Click in "Firm Name". Type Site name as shown on the EFIN application.
- Be sure the "Print Signature" box is checked. This will print your site information on the signature line.
- Click in "Firm Address". Type in site street address.
- Click in "EIN". Press F3 to remove the red. **(No data to be entered in this field.)**
- Click in "Zip Code". Type in site zip code.
- **Be sure "IRS Only" box is checked, this will change the "P" to an "S" in the PTIN field.**
- Press F10 to save and move to next form.

TaxWise Shortcuts:

Command	Description
F1	Opens TaxWise Help
F2	Saves the return
F3	Makes an entry estimated
F4	Opens a drop-down list
F5	Opens the TaxWise calculator
F6	Opens a second form
F7	Opens the Return Query, which allows the preparer to view return data such as basic taxpayer information, tax due or refund, and return status
F8	Overrides a calculated entry
F9	Links to a supporting form
F10	Moves one level up in the program
F11	Opens the Select Variable window
Shift+F1	IRS Instructions

Figure 13

Most Commonly Linked Forms and Worksheets

1040 Worksheet 1 – Social Security

- From Form 1040 page 1, select line 20b (Social Security). Right click and then select "Link." Select the "1040 WK1" worksheet. In the "Taxpayer" column select the field for "Social Security received this year." Press F3, then F10 to save and exit the worksheet.

Select Form 1040ES

- Scroll to line 14.
- Check the box on line 14c and press the tab key.
- Press F10 to save and move to next form.

NOTE: If entries are not made on this form, it will not print.

Return Stage (optional but strongly recommended)

- Open Tax Form Defaults with the Admin user.
- Click on the "Return Stage" button, and then select "Edit Return Stage Options".
- Add the following items to the list (PPIN = Practitioner PIN):
  - Ready to Review
  - Ready to Submit e-file
  - Waiting on Signature
  - Waiting on Tax Information
  - Paper Return
  - DO NOT FILE
  - Select "OK"
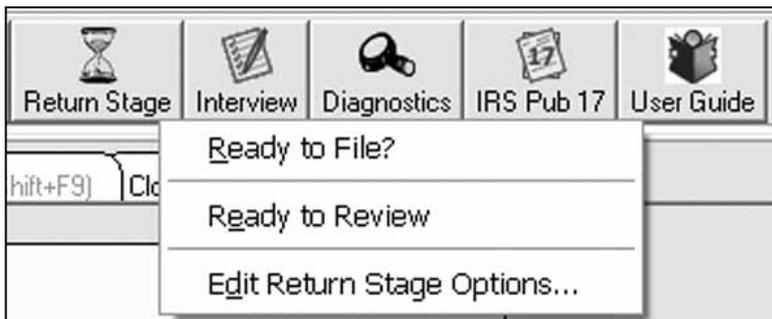
Figure 14

> **NOTE:** Return Stage can only be carried out by logging into TaxWise as the Admin User; however, the changes will apply to all other users.

Allowing a User to Create Unique Defaults

Tax Form Defaults created in the "Admin" user will be copied to all existing users as well as newly created users unless the user is in a group whose users are permitted to create and modify their own tax form defaults. Newly created Users are automatically assigned to the "SuperUser" group and are no longer allowed to create or modify their own tax form defaults. To allow a user to create their own unique defaults, an ERO must setup a new group with this authority. Security Manager is used to establish new groups with specific authorities and to assign users to the different groups.

Setting Print Packet Defaults

> **NOTE**: You do not actually copy print defaults to each new user name, but each user will use the same print defaults as Admin unless the user modifies his own print defaults.

There are several ways to print in TaxWise. The text below describes a way to set print defaults using Print Packets. This method will be pre-set in TaxWise 20XX.

Basic Philosophy - Set up TaxWise default forms to print any form that - on a paper return - would get mailed to the IRS/State. Remove (do not print) any worksheets (W-2's, 1099's, etc.). TaxWise will only print those forms that have data on them.

- Log in as "Admin".
- Go to "Tools".
- Go to "Utility/Setup Assistant".
- Click on "Setup".
- Click on "View/Edit Print Packets".
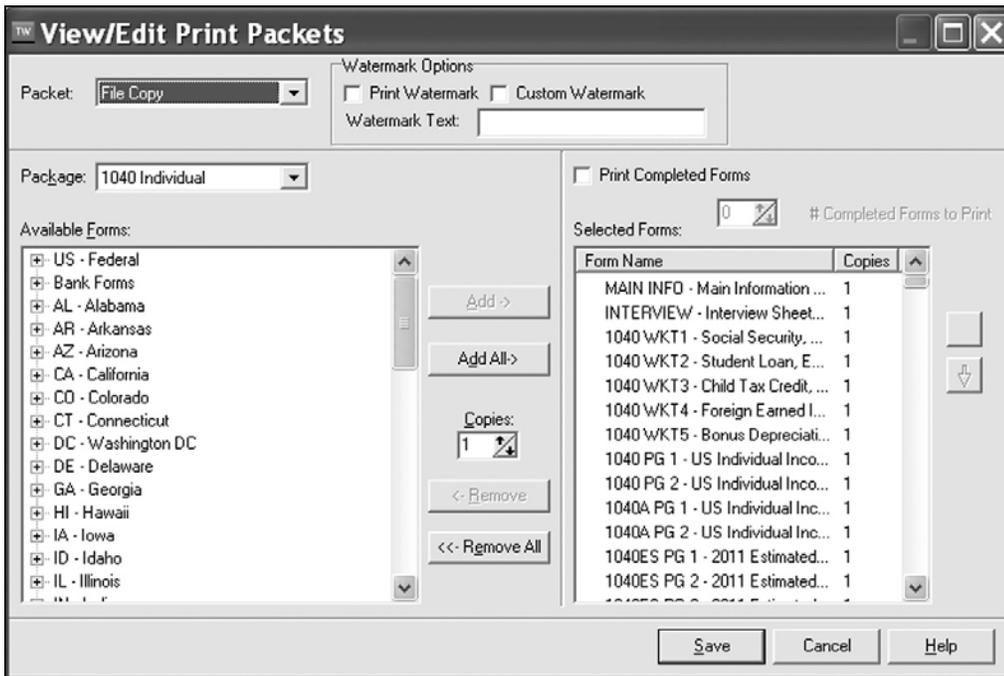
Figure 15

- Choose the "File Copy Packet".
- In "Available Forms" section, open US Federal by clicking on + sign.
- Click "Add All" button.

You may add or remove forms, Federal or State, from any print packet. If you are preparing state returns you must add the state forms to the appropriate packets after the states are installed on your system.

To add the forms separately, click on the plus next to the US-Federal or specific state to expand the list, select the desired forms one at a time or you can select multiple forms by holding down the CTRL or Shift key. Once you have selected the forms you want, click the "Add" button.

To remove forms from a print packet, select the desired forms from the box on the right and click "Remove". The forms will be moved to the Available Forms box. You can use the Ctrl or Shift keys the same as explained to add forms.

Highlight the following forms and click the "remove" button to take them out of the list that will be printed.

- Main Info
- Interview
- 1040 Worksheet (Wkt.) 1
- 1040 Wkt. 2
- 1040 Wkt. 3
- Sch EIC Wkt
- W-2
- W-2G
- W-2GU
- 1099G Wkt
- 1099-MISC
- 1099R (Keep in if using simplified rule to track pension balance)
- Any other form not needed

Changing the Number of Copies to Print

- Select the desired form or forms in the box on the right.
- Click the up and down arrows in the "Copies" box to increase or decrease the number of copies to print in a packet (or right click to open an "increase-decrease box"). Some versions require Right-clicking to open an "increase-decrease box".
- Change any other forms as necessary.
- Click on **SAVE** button.

NOTE: Depending on your specific site requirements and procedures it may be useful to set up other Print Packets. For example if you must often mail State Returns, then set up the "State Copy to Mail", or you may want to use the "Signature Pages" packet. When printing a return you can chose a single or multiple packet to print.

If you are experiencing Installation problems consider the following:
- If your anti-virus software interferes with the TaxWise installation, disable it for the duration of the installation. (Don't forget to activate it again when installation is complete!)
- Network Installations: see "How do I install TaxWise to a network?" earlier in this section.

TAXWISE IS INSTALLED!
CONGRATULATIONS!

Establish a New User Group

- Open TaxWise 20XX and select the "Admin" user.
- Select "Tools," then "Utilities/Setup Assistant".
- In the Utility Program, select "Setup Assistant", then "Security Manager".
- Select "Groups & Users"
- Select "Security Groups"
- Select "New".
- Create a name for the new group.
- For description use "Users allowed to create unique defaults".
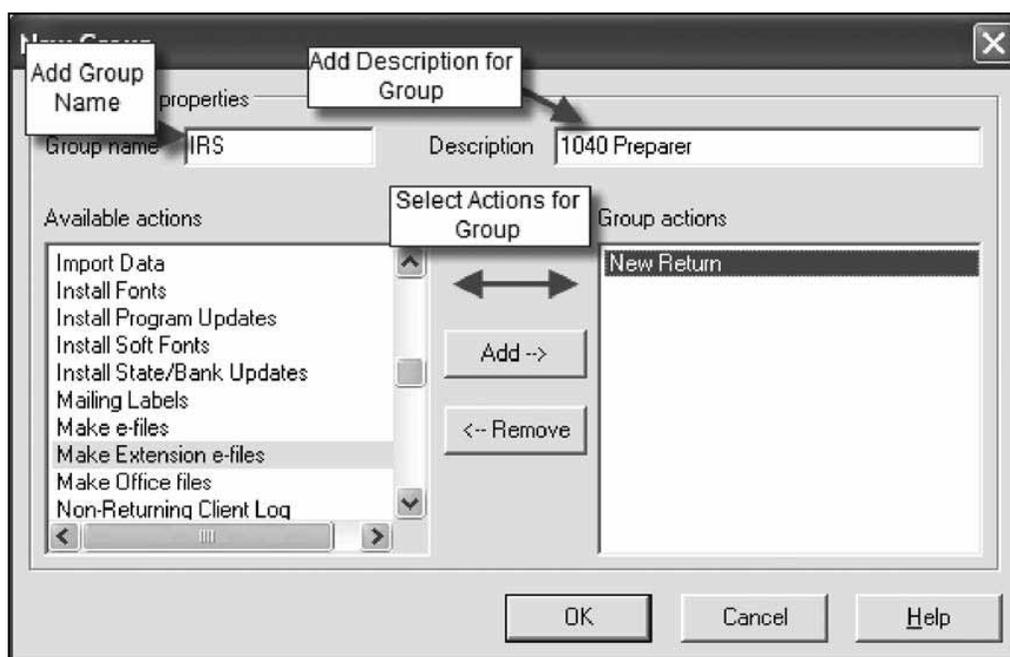- Select all the actions you want for this user group including "Edit Tax Form Defaults".

Figure 16

> **NOTE**: You can highlight the first item by clicking on it, then scroll down to the last action and hold the Shift key while clicking on the last item. This selects all items on the list.

- Click on "Add" to transfer all these actions to the new user group.
- Click "OK".

Assign Users to Specific Groups

- Repeat the first three steps shown above if not already in Security Manager.
- Select the "Users" tab.
- Select "New" to create a new User or Highlight an existing user and select "Modify".
- If a new User, type a "User Name" and "Password" then proceed.
- In the "Available groups" box select the appropriate group for the user and click "Add".
- In the "Assigned groups" box select "SuperUser" and click "Remove". (If "SuperUser" is not removed it will override the authority to set up unique defaults given to the "Defaults" group.)
- Click "OK".

Security Manager – New Group called Preparer

Any user assigned to the **Preparer Group** <u>does not</u> have access to the following:

- Transmit e-files
- Get Acks
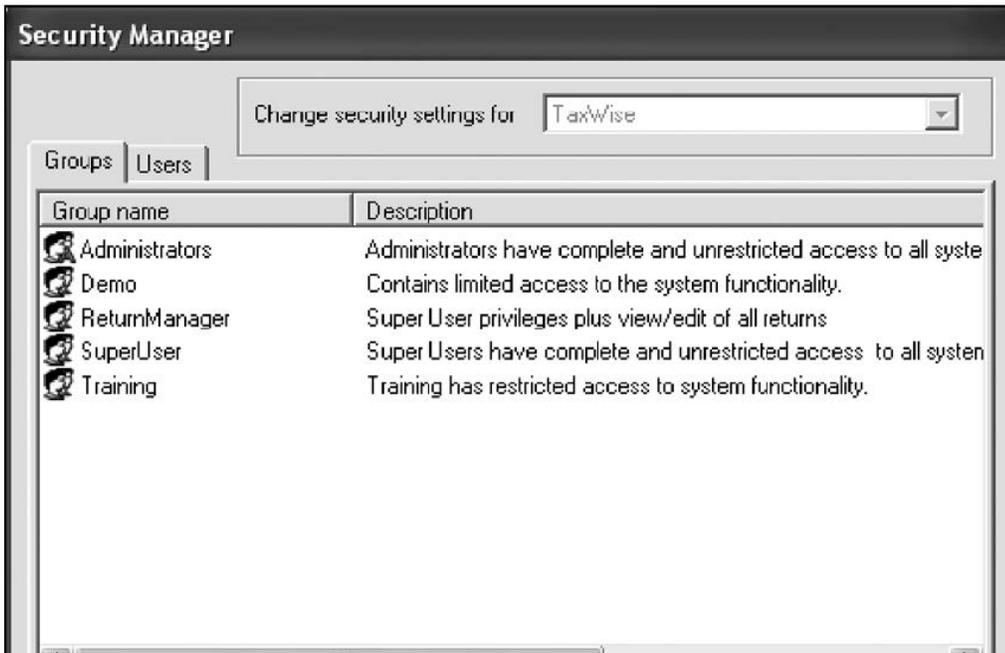- Return explorer
- Setup Options

Figure 17

> **NOTE**: In order to restrict a user's access, you must remove them from the default Super User Group.

When users are assigned to a Group allowed to modify defaults, the defaults assigned to this user are the original defaults that were included when the software was initially installed from the CD. Use Return Explorer to copy your updated Admin default file to any users that are allowed to modify their own defaults, if you want defaults that include the changes you have made in Admin after the software was initially installed.

User Name and Password Security

TaxWise uses a feature called Security Manager to control access to the TaxWise functions by adding, changing and removing users and passwords. Passwords MUST be assigned to each user. User passwords must conform to the following requirements:

- Unique per user is recommended
- Must contain at least 8 characters made up of the following:
  1. One or more alpha characters
  2. One or more numbers or special characters
- Can not contain login ID and must not have been used as a password by any user last year.

Passwords

Passwords are required for all Desktop versions of TaxWise. The password must be 8 characters long for both, Users and ADMIN, with a combination of at least one alpha and containing at least one number.

Do not prepare returns using the "Guest" user name. To completely restrict TaxWise from unauthorized users, you **must assign a password** to all User Names, including Admin, Guest, and Training**.

Assign a password to the "Admin" User

- Log in using "Admin".
- Select "Tools".
- Select "Utilities/Setup Assistant".
- Select "Setup".
- Select "Groups and Users"
- Select "Setup Assistant".
- Click on Users Name.
- Click on Admin.
- Click on Modify button.

Enter a password. Be sure it is easy to remember and meets the requirements above.

 If you forget your password, it cannot be recovered, contact CCH Customer Support.

Assign a password to the "Training" User

- Click on "User Name" Tab.
- Click on "Training".
- Click on "Modify" button.
- Create and enter a password.
- Click "OK".

Assign passwords to all user names, including the Guest User.

- **Passwords are required for privacy and security**.
- Click on "new" on the "User Name" tab to build a new user name.
- In the "New User Screen" type the user's name in the top left box.
- Give this user a different password than used on the others.
- TaxWise will automatically assign new users to the SuperUser Group.
- Do not assign new users to Training, Demo, or Administrator Group. You do not want to create real returns under training.
- Click "OK" to accept the changes.
- Either click "New" to add another user or "OK" to save changes and return to "Groups and Users" screen.

> **NOTE:** "Admin" controls Tax Form Defaults in all users and can set unique defaults for specific users. Users other than Admin must be authorized by Admin in the Groups & Users screen to modify their own defaults. The process is automatic and you no longer have to use Return Explorer to copy defaults to other users.

If you need to modify a user, change password, delete user, etc., return to Groups & Users screen, select the user name(s) and select the appropriate action.

> **NOTE:** The transmitting computer will need to be preset with all user names and passwords for users that create the returns that will be transmitted from that computer.

Downloading Federal Updates

To check current version - Go to help and select "about TaxWise".

Figure 18

Major updates must be applied to the software before transmitting return data through the Electronic Filing Center (EFC). Major updates are posted to the **CCH Customer Support site** 24 hours prior to release through the EFC. This is to allow users an opportunity to go to the web site and update at their convenience without forcing the update on them at transmission.

Minor updates will only be posted to the **CCH Customer Support site** and accessible by Internet users. However, minor updates are included in the next comprehensive major update. For instance, if updates 23.01, 23.02, and 23.04 were major updates and 23.03 was a minor update, **when a user who is currently at 23.02 downloads 23.04 from the EFC, they will automatically pick up 23.03 (minor) and 23.04 (major) at the same time**. This will be transparent to the user. CCH will not set transmission standards according to MINOR updates.

> **NOTE:** If a user does not have internet access and wishes to download a minor update, they can contact CCH Customer support to have the update sent to them through TW mail.

Instruction for Downloading Federal Updates:
You will need your Client ID, Username, and Password
- You will need your Client ID, username = ADMIN and registration code, the first time you log into the support site. The ADMIN user will then create usernames for anyone else they want to have access to the support site. A created user will login with Client ID, Username and password (which will be the username the first time they login).

- From the TaxWise home page:
  - You must have Internet access (www.taxwise.com) to download updates.
  - Click "Solution center/Knowledge Base" tab.
  - Click on "Launch Taxwise Solution Center"
  - Click on "Product Updates"
  - Enter your Client ID, username and password.
  - Click on **"Download"** link.
  - The "File Download" dialog box appears with "Open" or "Save" options.
  - Select "Open" to run the file or select "save" to save the file.
  - Follow prompts.

Figure 19

The CD for TaxWise also contains install files for the latest version of **Internet Explorer** and the **Adobe Acrobat** reader. If these versions are not on the computer, these programs should be installed. Disable any antivirus software during installation.

NOTE: Always use the same computer for all communications for a given EFIN.

Federal updates must be downloaded from the Solution Center or through the **TaxWise Electronic Filing Center**.
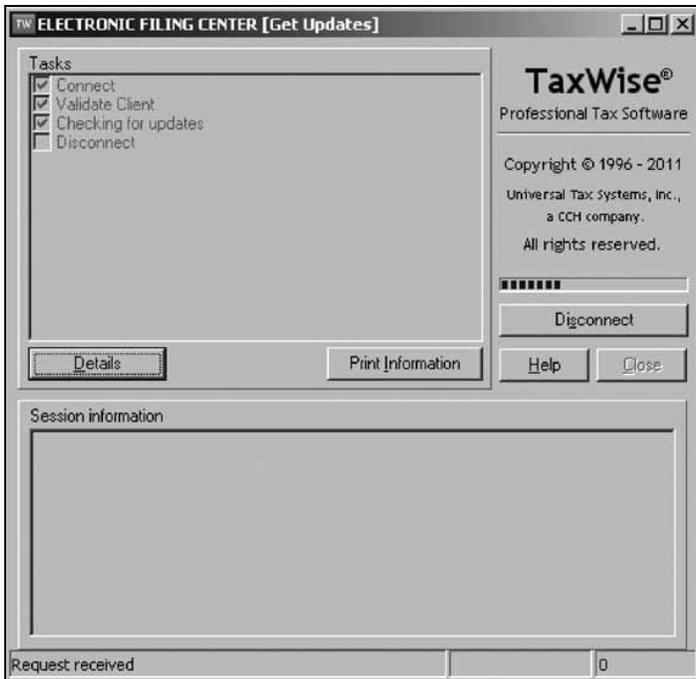
Figure 20

If the site has multiple computers, you will have to transfer the file to a PMSD and load it onto all the other computers. For more information, see "Transferring Federal and State Updates to Nontransmitting Computers" in the "Filing Season" section.

- If you use an Internet connection, each computer can update through the TaxWise support site. Use the "Customer Support" tab and go to the update link. All updates will be at that site and you can select the ones you need.

> **NOTE: During the peak e-file periods getting updates could take longer to download during the daytime hours. Many EROs have found that it is less time consuming to download during non-business hours.**

Federal updates must be downloaded from the Solution Center or through the **TaxWise Electronic Filing Center**.

Downloads and Updates of State Software

When your primary state becomes available (the one used in your EFIN address), it will be automatically downloaded, to your EFIN mailbox for retrieval.

To retrieve your state software, click on the **"Get Acknowledgments and Updates"** in the drop down box on the TaxWise home page. If State Software is available, it will download and automatically install.

Instruction for Downloading State Updates:

Once you have installed your state software, the State Updates will apply automatically. If the automatic install doesn't occur, follow the steps below:

From the TaxWise homepage (www.taxwise.com):

- Select the "Support Login".
- Enter your Client ID, username and password.
- Click on "Download" in the blue bar at the top of the screen.
- Click on the "State Updates" link to the right of Product Updates.
- Click on the "Download this file" icon next to the applicable state.
- The "File Download" dialog box appears with options "open" and "save".
- Select "Open" and follow the prompts.

If you experience problems installing State software:

Try uninstalling, then reinstalling the state:

- Select "Tools".
- Select "Utilities/Setup Assistant".
- Select "Tools".
- Select "Uninstall Module(s)".
- Select applicable state.
- When process is complete, Select "Tools".
- Select "Utilities/Setup Assistant".
- Select "Tools".
- Select "Install State/Bank Updates," and follow prompts.

> ⚠️ **You should only request those states that you will be using on a daily or weekly basis.**

There are <u>two</u> ways to order state software packages. Reminder, you are only to download the state software packages on which you have been trained.

1. Ordering state software packages using the TaxWise support site (www.taxwise.com):
2. Ordering state software packages through TaxWise Mail:

> ▶**TIP:** For more information on Ordering State Software packages, please refer to the TaxWise User Guide.

Transferring Program and Module Updates to Non-Transmitting Computers

Most non-transmitting computers are not connected to the Internet; therefore, federal and state updates must be installed.

To get the update from the transmitting computer:

- Go to "Tools".
- Click on "Utilities/Setup Assistant".
- Go to "Tools".
- Click on "Tranfer Program Updates" or "Transfer Module Updates", as applicable.

To update the non-transmitting computer:
- Go to "Tools".
- Click on "Utilities/Setup Assistant".
- Go to "Tools".
- Click on "Install Program Updates", as applicable.
- Select the drive you want the updates installed to.
- Follow prompts.

Restoring Prior Year Data

▶**TIP:** For more information on Prior Year Data, please refer to the TaxWise User Guide.

Prior Year Carry Forward

The advantage of using this data is that once you enter a social security number that has carry forward information, a message will ask if you want to load prior year information. If you answer "yes", the current year return will immediately be populated with the prior year information with the exception of dollar amounts. This process saves time and reduces entry errors. However, the data must be verified. Some data will appear with a red background which is an alert to verify the information. If the information is correct select "F3" to remove the red.

▶**TIP:** For more information on loading Prior Year Carry Forward data, please refer to the TaxWise User Guide.

TAXWISE FILING SEASON

Backing Up and Restoring Returns

Deleting Returns on Non-Transmitting Computers

Transmitting Returns

Getting Acknowledgments

Fixing and Resending Rejected Returns

Return Explorer

Return Explorer Actions

TaxWise Reports

Backing Up and Restoring Returns

Backups are very important! If something goes wrong with your computer, backups are the only way for you to recover your data. It is a good idea to have a regular routine and perform backups daily. Be sure to write down pertinent information about each backup (e.g., date, time, who performed the backup, etc.).

TaxWise 20XX Backup\Restore will include two options

1. Regular Backup
   • This option works the same as prior year backups

2. Option to Archive Data
   • Returns from all users
   • All previously deleted returns
   • All associated Database records
   • Does not include any recreatable files such as e-files
   • Will overwrite any existing backup on the same media

▶**TIP: For more information on Backing Up and Restoring Returns, please refer to the TaxWise User Guide.**

If you are experiencing backup problems, you might want to try the following:

- If you are running Guard Dog, disable it while making backups.

When you are backing up to a CD writer, you must remember 3 things:

1. **You must use a CD-RW to perform a backup within TaxWise**. You cannot backup to a CD-R from within TaxWise, because it does not recognize it as a drive.
2. The CR-RW must be formatted as Direct CD.
3. The CD-RW must be inserted into the CD-Rom drive before you choose to backup.

If using CD-RW media, you can backup returns to a directory on your hard drive and then burn the backup files to CD using your CD creation software. However, we cannot offer support for this due to the many different programs available. Refer to your CD creation software vendor for documentation or help with this process.

If you're using Windows 7, this task is easier. When you insert a blank CD into your CD burner, Windows opens a dialog box asking if you want to open a writable CD folder. If you do this, you can drag and drop files and/or directories you want to burn into the folder. Windows XP makes a copy of these files in a special 'staging area' (this could require a lot of disk space) until it is time to burn the CD. At this point, you can still change your mind about any of the contents in the folder. Simply select and delete any files or directories you don't want copied. They are removed from the 'staging area' only, and your original files are not deleted.

To burn a TaxWise backup to CD, you'll need to find the location on your hard drive where you saved the backup, then drag the following files to the writable CD folder:

1. BACKUP.001
2. BACKUP.OPT
3. BACKUP.XML

When you're ready to record, just click **Write these files to CD** in the task bar to the left. The CD Writing Wizard opens and prompts you for a label for the CD. You can enter up to 16 characters. Click "Next" and the wizard displays a progress bar indicating the status.

When restoring from a CD-R backup, all files will have a "Read Only" attribute that will have to be removed. (CD-RWs shouldn't require this.)

In some cases, the TaxWise restore program may have problems reading the data from CD causing the restore program to exit without processing the backup files. In these cases, the three backup files (BACKUP.001, BACKUP.OPT, and BACKUP.XML) will need to be copied to the C:\ drive (or any other hard disk drive location) and restored from the new location.

Follow the procedures below:

- Copy the two files and paste them to a location on your C: drive.
- Restore from the location on the C: drive.

If you're attempting to use a burned CD to transfer a federal or state update that you downloaded from the Internet, you do not need to use the Transfer Update options within TaxWise. Instead, just copy the executable update file from the CD (TWUPDxx.EXE) to the desktop of the machine that needs the update. Then double-click the update just as you did on the computer where it was downloaded.

> **A backup of all returns on the transmitting computer should be retained. The e-file administrator should store this backup in a secure location. IMPORTANT: At the end of the site's day all taxpayer files should be removed from all site computers that are not secure. Note that erasing taxpayer return files does not remove all related taxpayer information from the computer.**

Deleting Returns on Non-Transmitting Computers

Some sites choose to delete returns from non-transmitting computers to prevent disclosure. This is not required and is at the discretion of the site coordinator and e-file administrator. Returns can be deleted from non-transmitting computers using the TaxWise Explorer described later in this document.

> **Do not delete returns that have been backed up until you are sure that the backup disk can be restored to the transmitting computer.**

Transmitting Returns

Volunteer sites must originate the electronic submission of the return as soon as possible after the electronic return is signed by the taxpayer(s). The site coordinator is responsible to ensure that "stockpiling" of returns does not occur. Stockpiling refers to waiting more than three calendar days to submit the return to the IRS once the preparer has all necessary information for origination.

> **NOTE: Individual income tax returns must not be electronically filed prior to the preparers receipt of Forms W-2, W-2G, 1099-R, signed 8879.**

To transmit Federal and/or state 1040 e-files or extension e-files, you must be working in the 1040 Individual package. The steps to transmit returns are as follows:
- Go to **Communication** in the menu on the left of the Home Page.
- Select **Send Federal/State returns**.
- Returns to File window will open.
- Select **Send Returns to the Electronic Filing Center**.
- Click on **Send**.
- Select all returns listed by clicking the **Select All button** (to select returns separately, click each return). Ensure that you have **signed Forms 8879** (or PIN information) for each return to be transmitted.
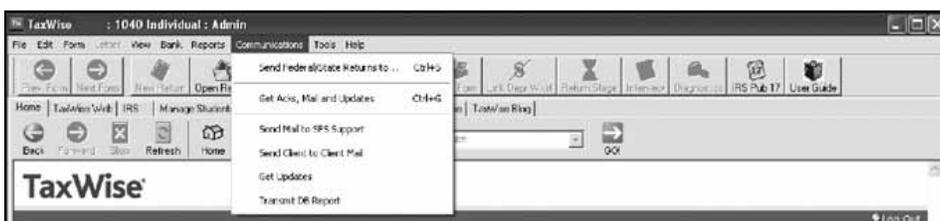

Figure 21

> **NOTE:** If changes were made to a return or the return was opened after the e-file was created, it will be necessary to open the return, and run Diagnostics. If No IRS Electronic filing errors detected, re-create the e-file by selecting the e-file button in Diagnostics.

> ▶**TIP:** To save time, particularly if returns were created by several different preparers, recreate all the e-files before selecting the returns to transmit using this simple procedure. It recreates all your e-files at one time.

- Select **TOOLS**
- Then select **MAKE E-FILES**
- Check **BOX** for each Return you intend to transmit
- Then Click **OK**

This will avoid going back to recreate individual e-files for returns that will not transmit because they have been opened after the e-file was created.

- The E-File Report screen appears listing returns to be transmitted. Print this report by clicking on the printer icon and following prompts.
  - If the report does not print for any reason, it is recommended that you cancel the transmission, correct the printing problem, and start over. You are to retain copies of the e-file Submission Report so they can be matched with the corresponding IRS acknowledgment reports. This provides a "paper trail" for each e-filed tax return.
- TaxWise will display a **Confirm** screen. **Please check your e-file Submission. OK to continue**? Click on **Yes** to continue.

> **NOTE:** The *e-file* Submission Report & Acknowledgment reports can be saved as sortable Excel files.

  - Note any problem returns. The report will tell you they have been **omitted** from the transmittal file. You will have to transmit them later after fixing the problem. Make sure that the returns contained in the transmittal file are indeed the returns you want to send and that information listed matches the information on the signature forms. If you see any returns included in the transmittal file that should not be sent for any reason, you can cancel the transmission now. **This is your chance to catch mistakes and cancel the process if you need to!**

- Next TaxWise will display the Electronic Filing Center screen and begin transmission.

  - **The Session was Successful** means that you successfully connected to the Electronic Filing Center. The **Session Information** part of the window will show messages including:
  - **Mail tossed** meaning that there were acknowledgments, updates, or e-mail messages downloaded to your computer.
  - **There was no mail to toss** meaning that there were no acknowledgments, updates, or e-mail messages downloaded to your computer.
  - Click on **Close** to close the communications window. You will receive the following message: **(120) The Electronic files just transmitted have been erased**. Click **OK.**

– **If the session was not successful:**

Click **Connect** to try again... TaxWise will attempt to reconnect to the Electronic Filing Center and re-send the transmittal file.

Or

Click **Close** to end the communications session. TaxWise will retain the transmittal file containing your e-files. The next time you choose **Send Federal/State Returns**, a window opens stating: (42) Transmittal file already exits. Transmit that file first. You can either re-send the transmittal file or click Unbatch. When you click Unbatch, the transmittal file is deleted but the separate tax return e-files are saved.

The tax return *e-files* selected to be transmitted **must** have signed Forms 8879 or the required PIN authorization. Match these against the tax return *e-files* listed in the **Returns to File** window and on the *e-file* Submission Report before transmitting. *E-files* without authorization should not be transmitted.

> **NOTE:** Erase unwanted *e-files* using TaxWise Utility so they are not sent in error.

Getting Acknowledgments

Volunteer sites must check acknowledgment records regularly to identify returns requiring follow-up action. The site coordinator or designee should take reasonable steps to address issues identified on acknowledgment records. The acknowledgment records should also be compared against the e-file Submission Report.

When you send returns to the Electronic Filing Center, any available acknowledgments, mail, or major updates will be downloaded to your computer before the communication session ends.

If you do not have any returns to process:

- Log in with user name or Admin.
- Click on Communications.
- Select **Get Acks, Mail and Updates**.
- Select **Get Fed/State Acks, Updates from Electronic Filing Center**.
- Click on the **Get Button**.

Processing Acknowledgments:

- When the communication session ends, click **OK**.
- A screen will appear listing the available files. E-mail files, federal acknowledgment files, and state acknowledgment files will be available. Files viewed in the past will have a blue check by the filename.
- Select the files to process. To select all files, click on the first file, hold down the **Shift** key and click the last file. To select certain files hold down the **Ctrl** key and click on each file that needs to be viewed.
- Click **OK**.
- Click the **Details** button to display the full acknowledgment.
- Click the **Print** button to print the Acknowledgment Report. TaxWise will automatically print the reject details when the Acknowledgment Report is printed.
- **Check the Acknowledgment Report for acceptance of the federal and state returns, SSNs, Refund/Balance Due amounts, and PIN**. The *e-file* Submission Report is another source to verify this information. If the *e-file* Submission Report differs from the Acknowledgment Report this is an indication there is a problem, Customer Support needs to be contacted for assistance. The Acknowledgment Report should be retained for recordkeeping purposes and end of season reporting. The *e-file* Submission Report can be shredded once it is verified that the Acknowledgment Report shows that return(s) have been accepted. See **Exhibit 8** for an example of an Acknowledgment Report.

NOTE: *It is important to review ALL data on the Acknowledgment Report.*

> **NOTE:** Occasionally you will transmit a return that is not able to be processed at the Electronic Filing Center (EFC). An EFC reject will be sent back to be downloaded the next time the transmitter connects to the EFC. It is very important that you process all CCH/EFC rejects. This will let the transmitter know that the return was not sent to the IRS.

Example 1: If a Site is transmitting returns for another EFIN but they have not set up their software to transmit for multiple EFINs, they will receive the following email below.

"The *e-file* for SSN [012345678], transmitted by EFIN [XXXXXX] cannot be processed because the associated database update record has the following problem:

EFIN [OOOOOO] is not the transmitter for EFIN [XXXXXX], who prepared the return.

Please check your setup configuration, recreate this e-file and retransmit the return to CCH. If this problem persists, please contact Customer Service for help in correcting this problem.

Example 2: If a return is sent to the IRS and the transmitter tries to resend it prior to receiving the acknowledgment they will receive the following EFC reject.

"EFC Reject 12: Federal E-File is already accepted or pending acknowledgment. We have discarded the return. Please note that if you resubmit a tax return before the original return is acknowledged, we will discard the resubmittal. If you are certain we do not already have the return, please notify Customer Service."

Fixing and Resending Rejected Returns

Contact the taxpayer before calling CCH Customer Support because the majority of rejections are due to:
 (a) Incorrect SSN(s)
 (b) Incorrect spelling of names
 (c) Incorrect EINs or employer or payer names.

For each rejected return, the Reject Report shows the IRS reject code, an explanation, and suggestions for fixing the return.

- Open the return. The form containing the error should be marked with a red exclamation point. The specific entry causing the error will be highlighted in red. These red indicators are only available the **first time** you open a rejected return. When the rejected return is opened for the second or subsequent times, the red indicator will no longer appear.
- Fix the error with the information you already have or if you are able, call the taxpayer for the correct information.
- Run Diagnostics.
- Create an *e-file* return.
- If the return does not involve a change in name or SSN of the taxpayer or the dollar amounts are less than the amounts listed below, the return may be re-transmitted without further contact with the taxpayer.

When a return is rejected, it is noted on the Acknowledgment Report, and the error code is noted on the Reject Report. (See **Exhibit 4**, "Top" Reject Codes.)

The explanation of the reject will only show on the detailed Acknowledgment Report. **The reject information becomes a permanent record in the return file and can be accessed by using the return query "F7" and selecting the "reject" tab in the return query dialog box**. This will only show the first reject, if there are multiple rejects on an individual return these will all be listed on the printed acknowledgment.

Rejected returns can be corrected and re-transmitted without new signatures on the Form 8879 or a new Self-Select PIN if changes are not more than:

- $50 to **Total Income** or **AGI** or
- $14 to **Total Tax, Federal Income Tax Withheld, Refund** or **Amount You Owe**.

> **If the changes are more than the amounts listed above, the taxpayer must be contacted and must sign a new Form 8879, or enter a new Self-Select PIN, before the return is re-transmitted.**

Some errors causing a rejected return cannot be fixed without contacting the taxpayer. If the IRS rejects the electronic portion of the taxpayer's individual income tax return for processing and the reason for the rejection cannot be rectified, the site coordinator or designee must take reasonable steps to inform the taxpayer of the rejection within 24 hours.

Return Explorer

Only the ERO should use Return Explorer. It is used to move and delete tax returns; and copy, move and delete other files in a user's directory. If "Admin" is used as the login, all users can be accessed.

To open Return Explorer:
- Select **Tools**.
- Select **Utilities/Setup Assistant**.
- Select **File**.
- Select **Return Explorer**.
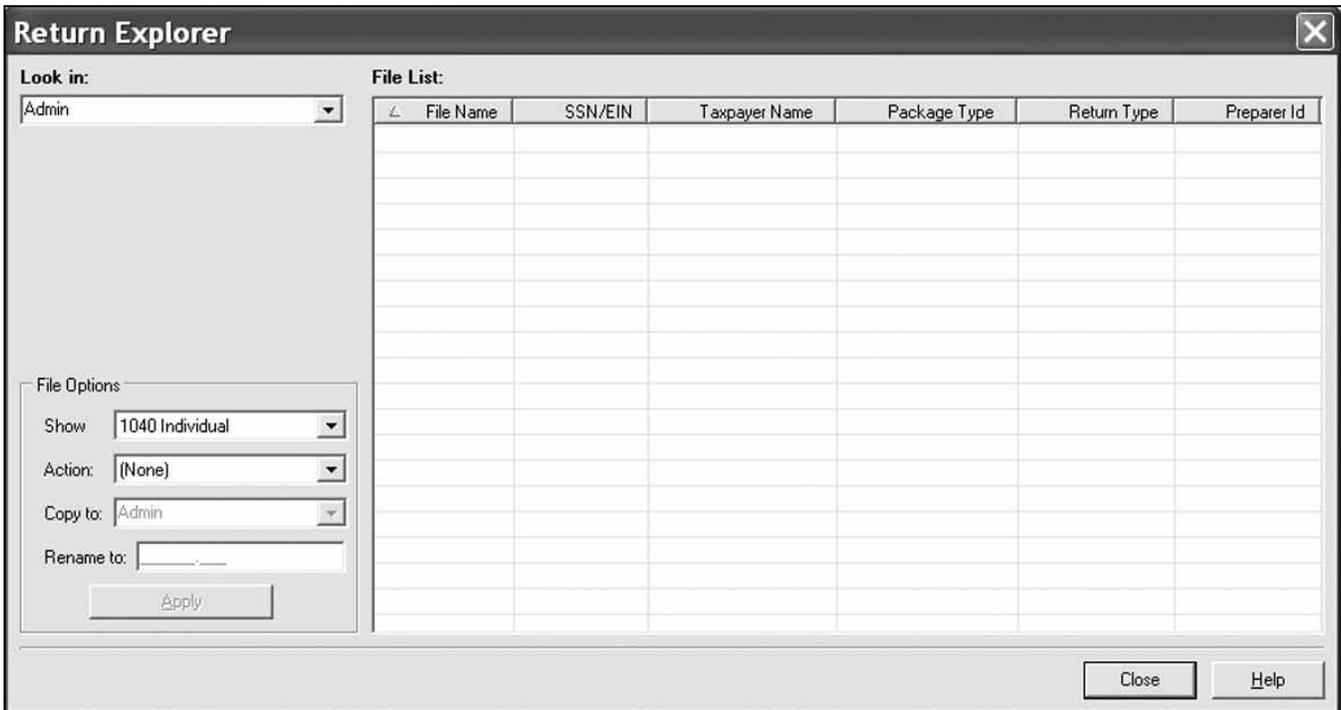
Figure 22

Left side of screen
- The **Admin user** has access to files in all other users
- Other users have access to perform operations only on those files belonging to that user.

Middle of screen
- **Restrict files list to** (has a pull down menu). Choose 1040 Individual.
- **Action** – Select an action to perform (copy, delete, move).
- Select files you want to copy, delete, or move,
- Click the button on the bottom to perform the action.

Return Explorer Actions

- **Copy** – Use this action to copy Tax Form Defaults, Private Form lists, Form Print defaults and History lists from one user to another. You cannot copy tax returns to another user. Tax form defaults can also be copied to removable storage media for use in transferring the defaults to another computer.
- **Delete** – Use this action to delete tax returns and other files. When you delete a file, the file is deleted permanently from your hard drive. The files do not go to the Window Recycle Bin. The files cannot be retrieved. This will delete all associated files, except the db files.
- **Move** – Use this action to move tax returns and other files from one user to another.

▶**TIP:** For more information on TaxWise Explorer, refer to the TaxWise User Guide that comes with the software.

TaxWise Reports

The TaxWise **Reports** menu item provides a variety of reports that are useful for management of the site. To see a list of reports, open the **Reports menu** item and choose the **Reports List**. For descriptions of most reports, click the Help button on the Select a Report to Print dialog box. Then find the 1040 Report Descriptions under "See Also". By default, reports are printed to the screen for viewing with the option to print to the printer for a paper copy. User reports can also be created.
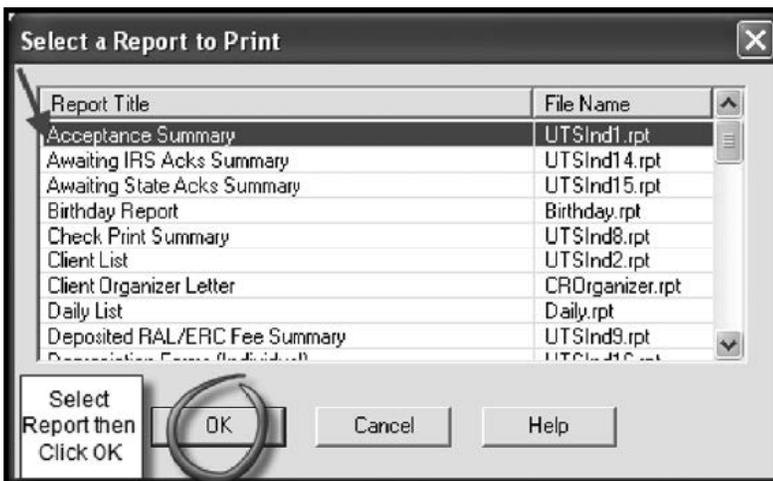
Figure 23

▶**TIP:** For more information on TaxWise Reports refer to the TaxWise User Guide.

Management reports are also available on the TaxWise support site, at Support.taxwise.com. (The TaxWise Client ID is required to access the TaxWise support site.) The TaxWise support site includes the TaxWise Report Server.

TAXWISE POST-FILING SEASON

End of Season Procedures

TaxWise Reports

Deleting Taxpayer Information

Backup of Information

Saving the EIN Database for Next Year

Deletion of Software

End of Season Procedures

⚠️ **Before beginning any of the procedures shown below, ensure all acknowledgments have been retrieved and all rejects have been resolved.**

TaxWise Reports

A wide variety of printable reports are available through TaxWise software.

TaxWise Reports Most Commonly Used:

- Acceptance Summary Reports
- Awaiting IRS Acks Summary
- Military Preparer Report (contains valuable informaiton for all sites)
- Outstanding IRS Reject Report
- Prep Use Field Report

Deleting Taxpayer Information

Information may not be stored on partner owned or IRS loaned equipment once the filing season activities are completed. The information on all computers (both partner owned and IRS loaned) must be deleted (securely wiped) as part of the site closing activities. Deleting the information properly will prevent unauthorized disclosure of confidential information. IRS provided software encrypts all tax return data stored on the user's computer or on removable media.

Backup of Information

Follow the procedures for backup of return data shown in "TaxWise Filing Season".

Backup Portable Mass Storage Device (PMSD) may be sent to the local SPEC Territory Office at the end of the season.

NOTE: For subsequent year return preparation, the site can retain a copy of a backup PMSD. Taxpayer consent is not required.

If a backup is lost TaxWise can provide a product call Return Retrieval. Users can request this function but TaxWise can not provide return retrieval unless approval is given by SPEC headquarters.

Record Retention: refer to the Signature Methods and IRS Recordkeeping section of this publication for instructions.

Saving the EIN Database for Next Year

Copy EIN Database (Employer.dbf and Employer.cdx)

These files contain the employer information used on W-2 and 1099s. They are located in the Database folder, a sub-folder of the TW20XX folder:

- Scroll to the Database folder and click to open it.

Locate the Employer.dbf and Employer.cdx files:

- Right click on these files, and select "copy".
- "Paste" these files to the PMSD.

Deletion of Software

Taxpayer data must be deleted from all computers including personal computers used in the program. This data must also be removed from all flash drives, CDs or floppy disks which have been used for backup transfer.

Prior to deleting any data it is suggested that you capture the TW20XX/TW20XX settings files for use in setting up computers for the next filing season. Simply copy and save the setup, group and user names and passwords, and Employer EIN files which can be pasted into any newly installed UTS20XX program next season. Detailed procedures for restoring data is provided in the handbook in the pre-filing season information under "Restoring Prior Year Data". In addition, the Tax Form Default file is located in the USER folder under UTS20XX. Each user has a file "0I000000.000" which contains the specific defaults for that user. This can similarly be copied and pasted to restore the defaults.

- Click on "Start".
- Select "Settings".
- Select "Control Panel".
- Click on "Add/Remove Program".
- Select and Highlight "TaxWise 20XX".
- Click on "Add/Remove" and follow prompts.
- Next remove TaxWise 20XX Workstation in the same manner.
- Exit Control Panel screen.
- Right click on "My Computer".
- Left click on "Explore".
- Double click on "Drive C".
- Right click on file "UTS20XX".
- Select "Delete".
- Icon for TaxWise should be removed from screen. If not, right click on icon and delete.
- Empty Recycle Bin.
- Defrag computer.
- Double click on "My Computer".
- Right click on "Drive C".
- Select "Properties".
- Under "Tools" click on "Defragment".

Handling and Storage of Forms: Refer to Signature Methods and IRS Recordkeeping Tab.

EXHIBITS

Exhibit 1 – Useful Resources

<u>Publications</u>

Listed below are publications that will assist you if you have additional questions concerning *e-file*. To locate these publications go to:

- www.irs.gov
- Select "Individuals"
- Scroll to "Forms and Publications" (on the left tree)

- Select "Publication Number" under "Download Forms and Publications"
- IRS Publication 17, *Your Federal Income Tax*
- IRS Publication 1084, *IRS Volunteer Site Coordinator's Handbook*
- IRS Publication 1345, *Handbook for Authorized IRS e-file Providers of Individual Income Tax Returns*
- IRS Publication 3112, *Application and Participation Package*
- IRS Publication 4299, *Privacy and Confidentiality – A Public Trust*
- IRS Publication 4012, *Volunteer Resource Guide*

Other references not available at www.irs.gov:
- TaxWise Reference Manual (Comes with the TaxWise software package.)
- TaxWise Online Reference Manual (Comes on the TaxWise CD.)

<u>Other Web Resources</u>

- **Partner & Volunteer Resource Center Page at www.irs.gov**: To get useful information invaluable during the filing season such as Quality Alerts, What's Hot, Tax Tips, Frequently Asked Questions, etc., go to: **www.irs.gov, in the search box type "Volunteer Resource Center"**.

- **TaxWise Knowledge Base and Hot topics at the TaxWise Support site are useful reference tools. These topics are available at www.taxwise.com, under the Support tab**.

- **TaxWise Training is available through TaxWise Practice Lab which can be accessed through the Link & Learn Taxes website, contact your SPEC Relationship Manager if you have any questions.**

Exhibit 2 – Who Do I Contact?

1. **Hardware Problem**
   - If IRS-loaned equipment, VITA/TCE sites should contact the Enterprise Service Desk (Help Desk) at 1-866-743-5748.
   - If partner-owned equipment, contact partner IT function.

2. **Software Problem**
   - If TaxWise software, contact TaxWise Customer Support at 1-800-411-6391.
   - If operating system software on IRS-loaned equipment, VITA/TCE should contact the Enterprise Service Desk (Help Desk) at 1-866-743-5748.
   - If operating system software on partner-owned equipment, contact partner IT function.
   - Chat-live Support - Chat live with the TaxWise IRS Support Team. They cannot discuss specific taxpayer information, but can help with software questions. Chat is available from 9:00 a.m. to 6:00 p.m. EST Monday—Saturday during the tax season from the internet. Just click on "Chat with Support" on the left side the TaxWise Support Home page or by checking the icon "Live Chat" in TWO.

3. **Rejects**

   If unsure how to fix:
   - Contact TaxWise Customer Support at 1-800-411-6391.*
   - Contact IRS e-file Help Desk for Federal rejects at 1-866-255-0654.
   - Contact State e-file Help Desk for State rejects.
   - If additional training needed, contact IRS SPEC Territory office.

> **NOTE: IRS-owned equipment and operating system software should not be altered in any way without permission from IRS.**

Text Reference: TaxWise Filing Season

* Note: CS Reps cannot provide tax advice; they can only read the same reject(s) the preparer sees.

Exhibit 3 – Contact Information for Volunteers

Software Issues

IRS-Loaned Equipment – Contact the Enterprise Service Desk at 866-743-5748.

Partner-Owned Equipment – Contact your partner's IT or Tech Support department.

TaxWise

- Access program help by using the F1 key
- Access the TaxWise Knowledge Library at support.taxwise.com (Solution Center) or from within the TaxWise Desktop program or through TWO
- Use Chat to speak with a TaxWise representative by logging into the TaxWise Solution Center at support.taxwise.com and selecting the Chat link
- Contact TaxWise Customer Support by phone at 800-411-6391.

Before you call:

- Know your EFIN and Client ID
- Write down the exact error message

Hardware Issues

IRS-Loaned Equipment – Contact the Enterprise Service Desk at 866-743-5748.

Partner-Owned Equipment – Contact your partner's IT or Tech Support department.

Tax Year Website

2013 https://twonline.taxwise.com
2012 https://twonline.taxwise.com/12
2011 https://twonline.taxwise.com/11
2010 https://twonline.taxwise.com/10
2009 https://twonline.taxwise.com/09
2008 https://twonline.taxwise.com/08

Troubleshooting TaxWise Online

Problems loading a page

Go to **Internet Options**
Uncheck Preserve Favorites
Delete Temporary Internet Files
Delete Cookies
Close all Internet Explorer browsers and reopen

Problems viewing diagnostics

Check the resolution, located in the bottom right-hand corner of your screen, and set the resolution to 100 percent.

Helpful Phone Numbers

IRS VITA/TCE Hotline (volunteers only)	800-829-8482
IRS e-file Help Desk	866-255-0654
IRS Forms & Publications	800-829-3676
IRS Taxpayer Advocate	877-777-4778
IRS Tax Help for the Hearing Impaired (TDD)	800-829-4059
Social Security Administration	800-772-1213
TaxWise Customer Support	800-411-6391

Exhibit 4 – "Top" Reject Codes

"Top" Reject Codes		Suggested Solutions
506	Qualifying child's SSN listed for the purpose of claiming Earned Income Credit (EIC) has been used on another tax return.	Verify SSN of the dependent. If correct, the return will need to be mailed. Explain that this could be inadvertent error on a mailed return OR it is possible someone else may have knowingly claimed this dependent.
504	Dependent's Social Security Number (SSN) must match data from the IRS Master File.	Verify NAME & SSN or ITIN. Check Spelling & Data Entry. Verify info with client - have client contact SSA to verify information. Ask to see the Social Security Card(s).
503	Last name for the secondary taxpayer on the return does not match the IRS Master File and/or Social Security Administration (SSA) records.	Verify the name, SSN or ITIN. Ask to see the Social Security card of the spouse. Check for spelling and transposition errors. If the data entered is incorrect, make the corrections and retransmit the return
501	Qualifying SSN on Schedule EIC and the corresponding Qualified Name Control must match data from the IRS Master File.	Can be a companion to Reject Code 504. However if the Qualifying Child listed for EIC is a dependent on page one of tax return and only Reject Code 501 verify source data for year of birth or verify with client the year of birth. IRS only verifies year – not month or day – of birth.
541	Taxpayer must be older than qualifying child on Schedule EIC.	Verify birthdays of taxpayer and child.
500	Primary SSN and Primary Name Control of the Tax Form must match data from the IRS Master File.	Verify NAME & SSN or ITIN. Double Check Source Document. Review NAME Control.
535	Qualifying SSN on Schedule EIC and the corresponding Year of Birth must match data received from the Social Security Administration.	Verify birthday of child. Verify NAME & SSN.
502	Employer Identification Number of Form W-2, W-2G, or 1099-R must match data from the IRS Master File.	Based on the ACK Report determine if W-2, W-2G or 1099R. If more than one, determine from ACK Report which number. Double check the source document. If still incorrect contact payer or have client contact payer. If still unable to resolve will have to mail the return.
600	Taxpayer must file Form 8862 to claim EIC after disallowance.	Complete Form 8862.
507	Dependent's SSN of the Form 1040/A was previously used for the same purpose.	Verify SSN of the dependent. If correct, the return will need to be mailed. Explain that this could be inadvertent error on a mailed return OR it is possible someone else may have knowingly claimed this dependent.

> **NOTE:** For more Reject Code information, go to www.irs.gov type "Common Error Reject Codes".

Exhibit 5 – Sample Reject Letter

Date:

Taxpayer's Name
Address
City, State, Zip Code

Dear _____:

A problem was encountered in attempting to electronically file your Federal tax return. Please follow the instructions checked below:

We were unable to electronically file your _____ Federal tax return. The reason for the rejection is checked below. Once you obtain the correct information, **please bring that information back to the volunteer site** and we will retransmit your return. We apologize for any inconvenience.

❏ The name, year of birth, and/or Social Security Number listed for _____ is inconsistent with the information provided to us by the Social Security Administration. You may need to contact the SSA for assistance in this matter.

❏ There is an error in the Employer Identification Number on Form W-2 from _____ _____. Please contact this employer to verify that the number is correct.

❏ The IRS records indicate you were disallowed Earned Income Credit in a previous year. You must file a Form 8862, Information to Claim Earned Income Credit After Disallowance.

❏ Other_____

Please be advised that we were unable to electronically file your _____ Federal tax return. The reason for the rejection is checked below. Please mail your return to the Internal Revenue Service, _____. **You cannot file electronically due to the situation checked below. You must mail your return**. Please be advised that this will change the date you were advised your refund would be issued. We apologize for any inconvenience.

❏ The Social Security Number for _____ has already been claimed on another tax return for Earned Income Tax Credit.

❏ Your dependent, _____, has already been claimed on another tax return.

❏ Your Social Security Number has already been used as a dependent's SSN on another return.

❏ The IRS records indicate you have already filed a _____ Federal Tax return.

❏ Other_____

Sincerely,

Name and Title (Site Coordinator)
Site Name and Address
Text Reference: TaxWise Filing Season –"Fixing and Resending Rejected Returns"
TWO Filing Season –"Fixing Rejects"

Exhibit 6 – *e-file* Process

```
                          ┌──────────────┐
                          │  Start Here  │
                          └──────┬───────┘
                                 │
                                 ▼
                          ┌──────────────┐
                          │  Complete    │
                          │  Return      │
                          └──────┬───────┘
                                 │
┌──────────────┐          ┌──────────────┐       ┌──────────────┐
│ Adjust return│          │    Run       │ - - → │ if unable to │     End
│ information  │ ───────→ │ Diagnostics  │       │ correct, file│──→
│ as           │          │              │       │ paper        │
│ appropriate  │          └──────┬───────┘       └──────────────┘
└──────────────┘                 │
       ▲                         ▼
       │                  ┌──────────────┐
┌──────────────┐          │ Create e-file│
│ Take         │          └──────┬───────┘
│ corrective   │                 │
│ action as    │                 ▼
│ necessary    │          ┌──────────────┐
│ until reject │          │  Transmit    │
│ is resolved  │          │  Return      │
└──────────────┘          └──────┬───────┘
       ▲                         │
       │                         ▼
┌──────────────┐          ┌──────────────┐       ┌──────────────┐     ┌──────────────┐
│ Return is    │ ←─────── │  Get IRS     │ ────→ │ Return is    │──→  │ Follow state │
│ REJECTED     │          │ Acknowledge- │       │ ACCEPTED     │     │ procedures as│
│              │          │ ments within │       │              │     │ appropriate  │
└──────────────┘          │ 1 hour       │       └──────────────┘     └──────────────┘
                          └──────────────┘              │
                                                        ▼
                                                 ┌──────────────┐
                                                 │ Send 8453s to│
                                                 │ IRS Austin   │
                                                 │ Submission   │
                                                 │ Processing   │
                                                 │ Center if    │
                                                 │ applicable   │
                                                 │ (within 3    │
                                                 │ days)        │
                                                 └──────┬───────┘
                                                        │
                                                        ▼
                                                       End
```

Exhibit 7 – e-file Reports

Exhibit 8 – Sample IRS Acknowledgment Report (MeF)

4. If you are running TaxWise on a network, select the workstation for which you wish to automatically download program updates.
5. Select the time of day when you wish to automatically download updates.

6. When you are finished making changes, click **Save** to save your changes and close this window.

To download module updates automatically, use the following steps:

1. Log in as the Admin user.
2. Click the **Tools** menu and select **Schedule Auto Events**.

TaxWise displays the **Schedule Automatic Events** window:

3. If you are running TaxWise on a network, select the workstation for which you wish to automatically download module updates.
4. Select the time of day when you wish to automatically download updates.

5. When you are finished making changes, click **Save** to save your changes and close this window.

GLOSSARY

Accepted Return – An electronically filed Federal or state return that meets all of the requirements set forth by the IRS or the state and has been acknowledged by the IRS or the state as accepted.

ACK FILE (Acknowledgment file) – A file sent by CCH that indicates which returns were accepted or rejected for specific reasons.

Admin (Administrator) – the primary managerial user name for a program or web site: the admin user has control over other users, such as adding, deleting, or modifying user names, managing files, and Admin User password.

Alternative VITA/TCE Site Operating Model – A model that delivers services using two locations for return preparation; one for intake of information and one for preparation of the return. Preparation is done through communication with the taxpayer after the intake site confirms the taxpayer's identity. Specific requirements must be met in order to utilize this model. Contact the local territory for more information about this model.

Backup – The process of transferring or copying information from your computer onto PMSD (Portable Mass Storage Device).

Batch - A single transmission consisting of the electronic data from single or multiple tax returns.

Baud Rate – The measure of speed at which data is transmitted over a telephone system by a modem.

Chat-live – Chat live with the TaxWise IRS Support Team by exchanging online text messages.. They cannot discuss specific taxpayer information, but can help with software questions.

Client ID – the unique identification assigned to a customer by TaxWise. It is used by TaxWise and TWO users to access the TaxWise support site.

Default Values – Entries that are automatically brought into a new tax form. These values may be set up for each user using 'Edit Tax Form Defaults' on the 'Tools' menu and in the templates in TWO.. These entries are stored in a master file under each user name for each package in TaxWise.

Designated Quality Review – This is the preferred quality return review method. An IRS tax law certified volunteer conducts a review of the returns prepared at a site to ensure accuracy and completeness. The Designated Quality Reviewer should be one of the most experienced persons at the site and should have the following skills:

- In-depth knowledge and understanding of tax law, as well as *e-file* software (if applicable).
- Properly trained and certified at the appropriate level of certification required for preparing returns at the site.
- Ability to explain tax law and how it applies to the taxpayer.
- Tact in dealing with taxpayers and volunteers when errors are identified.

Diagnostics – A process within TaxWise that checks for information or omissions that would cause the IRS or state to reject the return as ineligible for electronic filing. The program also displays any tax inconsistencies within the return.

Download – The process of copying a file to your computer.

EFC (Electronic Filing Center) – Is the TaxWise filing center you send your returns through to the IRS and receive acknowledgments.

***e-file* Submission Report** – Report compiled and printed by TaxWise before each electronic transmission of returns. The e-file Submission Report includes the Submission ID, SSN, last name, refund amount and signature method.

EFIN (Electronic Filing Identification Number) - An identification number assigned by the IRS to an electronic transmitter. It requires a formal application process for new sites.

IRS Service Centers – See IRS Submission Processing Centers.

IRS Submission Processing Centers – IRS locations that receive electronically filed returns. Prior to October 2002 these were called IRS Service Centers.

ISP (Internet Service Provider) – A company that provides Internet access.

ITIN (Individual Tax Identification Number) - A nine-digit number issued by the IRS to be used by individuals who do not qualify for a Social Security Number.

Login Page – The page on which users enter their user name and password to gain access to the TaxWise program. Includes links to information about using TaxWise, forms, training materials, Customer Education, TaxWise Customer Service, and tax-related web sites.

Major Update – An update that is **required to be loaded by IRS TaxWise Software Users**. A major update could include items such as tax law updates, changes to the electronic file record layout, etc.

Menu Command – A command listed on a menu that activates a certain feature of the program.

Minor Update – An update that is not required to be loaded by IRS TaxWise Software Users. A minor update could include items such as banking, small user interface changes and enhancements. Minor updates will only be posted to the CCH **Customer Support site** and accessible by Internet users. However, minor updates are included in the next major update.

Modernized *e-file* (MeF) – This transaction based system allows tax return originators to transmit returns electronically to the IRS in real-time, improving turn around times.

Network – A series of microcomputers linked together. Networks may share a common file server or be peer-to-peer, depending on the operating system.

Option Button – A circular button on a window that allows you to select one of a mutually exclusive set of choices.

Override – Feature used to enter another number or word in place of the value automatically calculated. **MUST BE USED WITH CAUTION**.

Password – A security tool used to identify authorized users of a computer program or computer network. Each user name added to the TaxWise system must be assigned a password to prevent unauthorized users from logging into TaxWise. Passwords are set up in Security Manager in the Utility program.

Pending *e-files* – Electronic return files that have been transmitted and are awaiting acknowledgment from the IRS.

PMSD (Portable Mass Storage Devices) – any data storage media that can be removed from the computer such as CDs, floppies, flash or jump drives.

Practitioner PIN Program – The Practitioner PIN method allows taxpayers to sign their return using a five-digit PIN they select; however, it does not require entry of the taxpayer authentication information (i.e. Date of Birth and Prior Year original Adjusted Gross Income).

Print File – A file ready to be sent to the computer printer.

Quality Control Process – The procedures and processes in place to measure the quality of your VITA site operations and the accuracy rate of returns prepared.

Quality Reviewer – An IRS-tax law certified volunteer, other than the individual that assisted in the preparation of the return, who checks a tax return to ensure its accuracy and completeness.

Query – To call up information from the database pertaining to specified returns.

Registration Code – The unique, 20 digit alpha-numeric code, assigned to a customer by TaxWise that "unlocks" the software.

Rejected Return – An electronically filed Federal or state return that does not meet the requirements of the IRS or the state and has been rejected by the IRS or the state and cannot be considered as filed.

Relational EFIN – A relational EFIN is only a management reporting tool. It allows partners who operate multiple sites to keep informed by accessing the production reports available at taxwise.com for all the sites they support.

Required Entry – TaxWise entries that are required for E-filing or that have been marked as incomplete by the preparer: TaxWise color-codes these entries in red.

Restore – The process of retrieving or copying information from a Portable Mass Storage Device.

Return File – A file containing all tax data. This file is not in a format readable by other programs.

RTN - (Routing Transit Number) – The nine-digit identifying number assigned to banks by the Federal Reserve.

Screen Resolution – The visual quality of the text and images displayed on a computer screen, expressed in pixels. The higher the numbers, the better the quality. TaxWise is designed to display at a minimum screen resolution of 800 x 600 pixels per inch.

Self-Select PIN Program – The Self-Select PIN method allows taxpayers to electronically sign their e-file returns by entering a five-digit PIN. The five-digit PIN can be any five numbers except all zeros. The Self-Select PIN method requires the entry of each taxpayer's Date of Birth and Prior Year original Adjusted Gross Income or Prior Year PIN which are used to authenticate the taxpayer.

Setup File – The SETUP file in the UTSXX\ directory. This file contains information about how your program and computer are configured. It may be changed by opening the Tools menu then clicking 'Utilities/Setup Options'.

SIDN – The Site Identification Number is a number assigned to each volunteer site for identification purposes by the IRS. This number must be recorded on all tax returns to obtain credit for return preparation.

Site Coordinator – The person responsible for program coordination and various administrative duties associated with managing a site.

Solution Database – A searchable database of TaxWise information, which can be accessed via the CCH Customer Support Web site. Includes solutions to common problems, IRS addresses, and other useful tips.

Submission ID through MeF – The unique number assigned to a tax return that will be electronically filed.

SSN (Social Security Number) – A nine-digit number issued by the Social Security Administration.

Tax Form Defaults – The master file under each user name that contains the default values that every tax return should include when it is created. Opened from the 'Tools' menu, 'Edit Tax Form Defaults.''

TaxWise Desktop Product – Formerly Client Server Based Software. This TaxWise software is non-web based and is designed to be used with or without internet access.

TaxWise Knowledge Base – An extensive searchable database that contains answers to frequently asked questions. It can be accessed via CCH Customer Support Web site.

TaxWise Mail – Text files that are transmitted from a user to TaxWise Customer Service or a specific EFIN using the 'Send TaxWise Mail' command on the Communications menu. Users may receive messages from CCH any time they connect to the Electronic Filing Center.

TaxWise Online Software Product (TWO) – This web-based software program is internet dedicated and performs best with high-speed access.

TaxWise Support Site – The TaxWise Support Site is the company's website that holds all your site information. Use it to find latest news from Universal Tax System and the IRS, to download Federal and State updates, and to search the Customer Support Knowledge Base.

TCE (Tax Counseling for the Elderly) - The TCE program provides free tax counseling and income tax return preparation aimed at taxpayers 60 years of age or older. Emphasis is on reaching older persons who are disabled or who have other special needs. Although the focus of the TCE program is on older individuals, assistance should be provided to all taxpayers provided the elderly are given priority service. Many TCE sites offer free electronic preparation and transmission of income tax returns.

Toggle – To switch back and forth between two options. For example, if you click the Close Tree View button while the TaxWise Tree is displayed, the Tree will disappear. Click this button again and the Tree is displayed.

Training Electronic Filing Center – The electronic returns processing center that enables TaxWise users to practice e-filing year-round. To send practice returns and receive simulated IRS acknowledgments, users must log in to TaxWise as Training user name or any user name that belongs to the Training group.

Transmittal File – A file containing one or more electronic files, along with a beginning and ending summary record. The summary records tell how many returns are in the file and the sum or certain records in each file. This is the file format specified by the IRS or each state.

Transmitter – Individual transmitting electronic files to the CCH Electronic Filing Center.

Transmitting Code/X-MIT Code - A 20-letter code that allows you to transmit for other EFINs.

Unique/Strong Password – Passwords that have at least eight characters and include numbers or symbols. The longer the password, the tougher it is to crack.

Update – Any changes or improvements to TaxWise, Federal or state, software made during the tax season. Updates are posted on the CCH Customer Support Web site.

Upload – The process of copying a file from your computer to another computer.

User Name – A name entered into TaxWise as a user. The user name can contain up to eight characters and must be password-protected. User names are created and changed in Security Manager in the TaxWise Utility program.

Version – Each release or update of TaxWise is identified with a version number, e.g. 19.0, 19.01,19.1, and so on. Some features, or content are not available in the earliest releases of the software for a given tax year and are made available or added in later releases. Updates may be issued specifically to correct a programming error in a previous release. It is important to know which version of TaxWise you are working with when you contact Customer Service for assistance. To find the version number, click 'Help' on the menu bar and choose 'About TaxWise'.

VITA (Volunteer Income Tax Assistance) - The VITA program provides free income tax return preparation for taxpayers who have low to moderate incomes, have limited English skills, or are elderly or disabled. Many VITA sites offer free electronic preparation and transmission of income tax returns.

X-MIT Code – A 20-letter code that allows you to transmit for other EFINs.

ZIP Code Locator – A feature of TaxWise that automatically enters the city and state when you enter the ZIP Code in an address box. If using TaxWise Online version, enter the ZIP Code and then "Refresh" the page to have TaxWise enter the city and state correctly.

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