# THOMSON REUTERS®

## RS BROWSER E-FILE GUIDE

### FOR TAX YEAR 2021

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# CHAPTER 1: USING RS E-FILE

In order to successfully e-file any tax return or form, the return's forms to be e-filed must first be computed and a qualified XML file generated in Organizer.

## THE E-FILE VIEWER

Returns and extensions are transmitted to the IRS as XML files. These XML files can be reviewed in the RS Browser using the E-file Viewer function. The XML files can also be downloaded for your review and record keeping,

The E-file Viewer presents the contents of your XML files in Acrobat (*.PDF) format and organized according to the IRS and state provided schemas. Stylesheets are no longer used to superimpose the federal XML file over the tax form images. Instead, the XML file contents are now displayed with identifying information pulled directly from the schemas.

- The E-file Viewer does not depend on IRS-provided stylesheets to render the tax form image. In the past, stylesheets were not always available from the IRS on a timely basis, nor did they always agree with the latest schemas. Instead of using out-of-date stylesheets, the line numbers, descriptions, and element names are now pulled directly from the most current federal or state schemas.

- Historically, because the states have not provided stylesheets, review of a state e-file could only be accomplished by looking at the raw XML file. The PDF format, used by the new E-file Viewer, is available for all states.

- The descriptions in the PDF file rely on working links to provide supporting schema details. Blue underlined hyperlinks make navigation to supporting documents, such as other forms or schedules, trouble-free.

- Each page of the PDF file includes the taxpayer name, federal ID number (FEIN), page number, and the date the XML file was created.

- PDF bookmarks provide a way to quickly jump to specific forms or supporting details. Where multiple forms or schedules are included, the number of forms and schedules are indicated parenthetically, and the bookmark can be expanded to list each form and schedule.

- Shortcut keys are available as an aid to navigation. For example, type **Alt + Left Arrow** to return to the previous view.

- Unlike the stylesheets, the PDF file is searchable using the Find feature. For example, an element name that is found in a validation error can be entered in the field and searched for quickly. Knowing the context of the data can help resolve validation issues.

- You can access the E-file Viewer more quickly, especially when loading large XML files. You no longer need to exit the return to view either the XML or PDF file.

- You can use the E-file Viewer to save the PDF file on your local machine.

# ACCESSING THE E-FILE VIEWER

You can access E-file Viewer on the menu ribbon on the **Returns** page. The E-file Viewer feature allows you to review the return's e-file schema in both PDF and XML formats. A PDF file was automatically created when you clicked the **Create E-file** button to create a federal or state e-file. We suggest that you review each return's forms and jurisdictions in E-file Viewer prior to submitting the returns for e-file.

1. To view the XML and PDF files, you do not need to exit the return. Access the **Returns** screen and enter your search criteria. Select a specific return type.
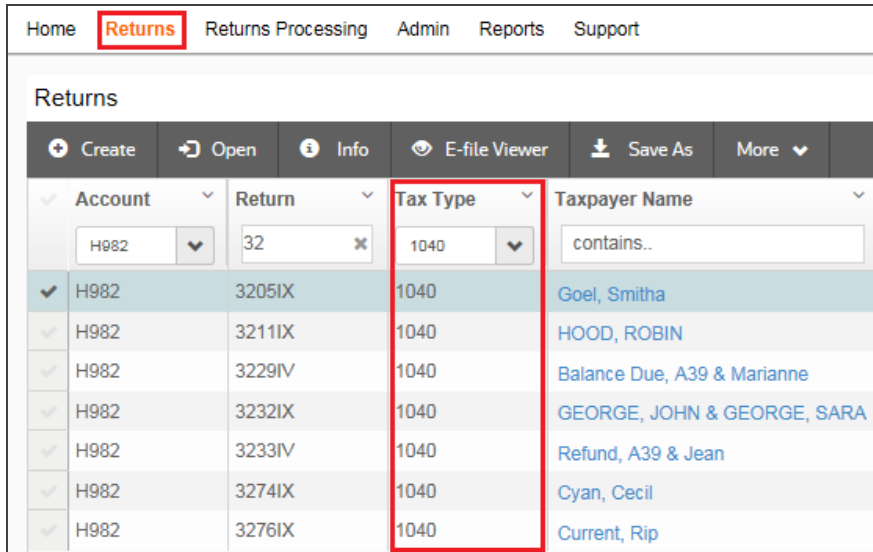


**Figure 1:1**

2. Place a check mark beside the return's name. Then, on the ribbon above the tax return listing, select **E-file Viewer**.

| Home | Returns | Returns Processing | Admin | Reports | Support |
|------|---------|-------------------|-------|---------|---------|

### Returns

| | Create | | Open | | Info | | E-file Viewer | | Save As | More ▼ |
|---|---|---|---|---|---|---|---|---|---|---|

| ✓ | Account ▼ | Return ▼ | Tax Type ▼ | Taxpayer Name ▼ |
|---|-----------|----------|------------|-----------------|
| | H982 ▼ | 32 ✕ | 1040 ▼ | contains.. |
| ✓ | H982 | 3205IX | 1040 | Goel, Smitha |
| | H982 | 3211IX | 1040 | HOOD, ROBIN |
| | H982 | 3229IV | 1040 | Balance Due, A39 & Marianne |
| | H982 | 3232IX | 1040 | GEORGE, JOHN & GEORGE, SARA |
| | H982 | 3233IV | 1040 | Refund, A39 & Jean |
| | H982 | 3274IX | 1040 | Cyan, Cecil |
| | H982 | 3276IX | 1040 | Current, Rip |

**Figure 1:2**

*Be patient! The E-File Viewer may take time to load.*

3.  The E-file Viewer opens with two panes. The right pane contains additional information on using the E-file Viewer and does not appear when the PDF or XML file is displayed.
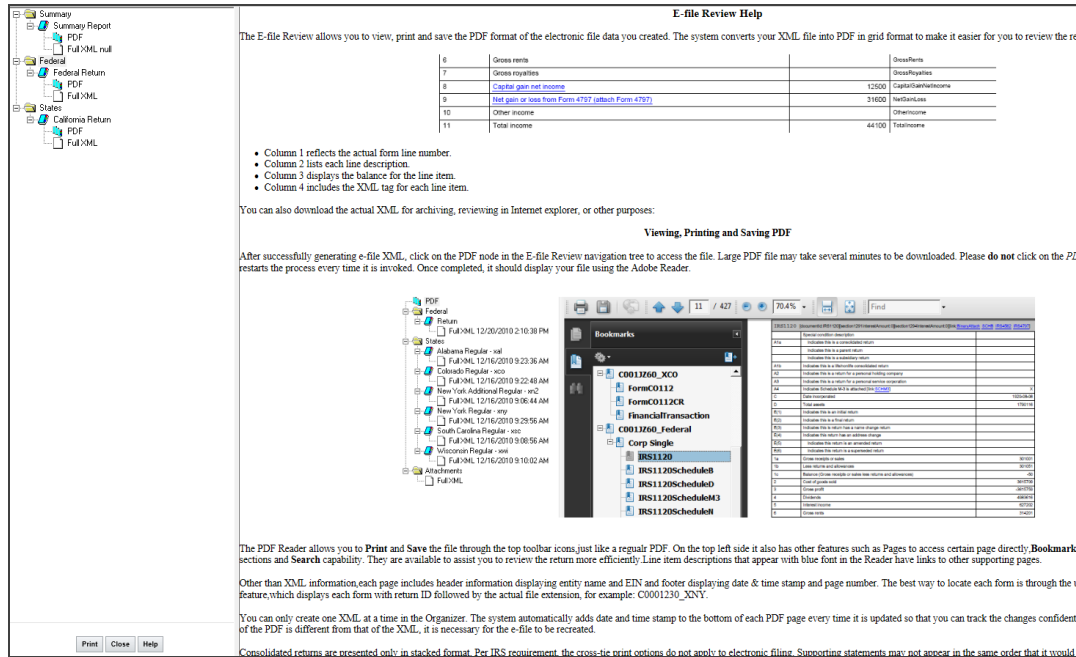


**Figure 1:3**

4.  The left pane in the E-file Viewer contains the navigation tree for viewing the PDF file and the full XML file and allows you to open the full XML and view the PDF for each jurisdiction's e-file schema.
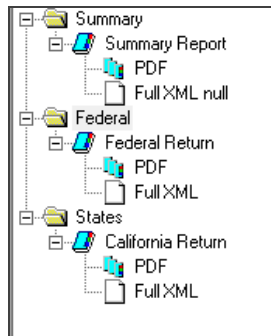


**Figure 1:4**

# OPENING THE E-FILE VIEWER PDF FILE

Click the **PDF** folder to open the PDF file in a separate window. The PDF appears as a grid with columns for line number (if applicable). A description of the schema element, data from the XML file, and schema element name also appear.

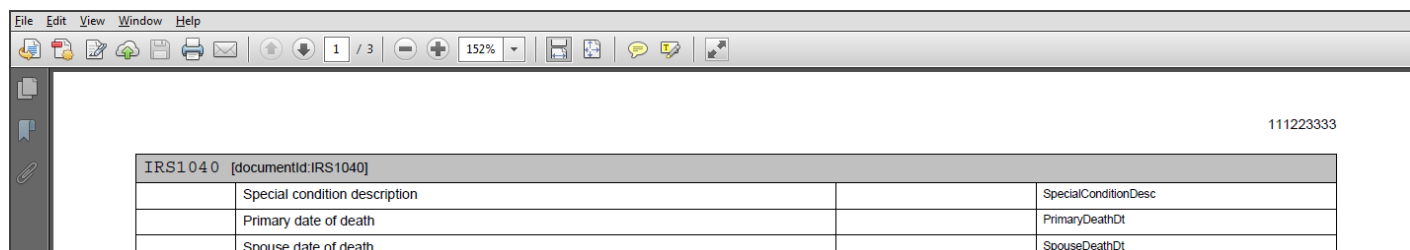The Acrobat toolbar for the PDF appears at the top of the pane:



**Figure 1:5**

> The XML header information, such as taxpayer and paid preparer information, is not displayed in the PDF. However, this information can be verified by reviewing the full XML file. Click the file under the **PDF** folder.

## Using the Toolbar

You can save or print the PDF file once the E-file Viewer is opened. Save or print in one of two ways:

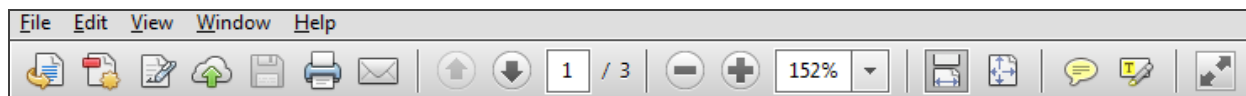- from the PDF toolbar at the top of the pane:



**Figure 1:6**

- when initializing the PDF file:



**Figure 1:7**

The toolbar also allows you to do the following:

- send the PDF file in an e-mail (letter icon)

- accessing a page directly by typing a number in the page field on the left (or using the up and down arrows)

- find content by typing a word or phrase in the field at the far right.

# Using the E-file Viewer

The PDF grid appears in a separate window when using the E-file Viewer.

## *PDF GRID VIEW*

As shown in the following two figures, each page of the PDF file includes:

1. **taxpayer name**

2. **EIN** or **SSN**

3. **timestamp** when the PDF was created

4. **page number**.

| LISA<JAMES | | | | 10000100 |
|---|---|---|---|---|
| **IRS1040** [documentId:IRS1040] | | | | |
| | Special condition description | | | SpecialConditionDescription |
| | Primary date of death | | | PrimaryDateOfDeath |
| | Spouse date of death | | | SpouseDateOfDeath |
| | Special processing literal | | | SpecialProcessingLiteralCd |
| | Special processing literal | | | SpecialProcessingLiteralCd2 |
| | Special processing code text | | | SpecialProcessingCodeTxt |
| | PECF primary indicator | | | PECFPrimaryInd |
| | PECF spouse indicator | | | PECFSpouseInd |
| 1 thru 5 | Individual return filing status cd | | 1 | IndividualReturnFilingStatusCd |
| 3 | Spouses name | | | SpousesName |
| 3 | Non-Resident Alien literal code | | | NRALiteralCd |
| 4 | Head of household qualifying child name | | | QualifyingNameForHOH |
| 4 | Head of household qualifying child SSN | | | QualifyingHOHSSN |
| 6a | Exempt primary indicator | | X | ExemptPrimaryInd |
| 6b | Exempt spouse indicator | | | ExemptSpouseInd |
| 6b | Exempt spouse name | | | ExemptSpouseName |
| 6b | Exempt spouse name control | | | ExemptSpouseNameControl |
| 6 | Total exempt primary and spouse count | | 1 | TotalExemptPrimaryAndSpouseCnt |
| **Dependent Informations** | | | | |

## Figure 1:9

| | | | | |
|---|---|---|---|---|
| 17 | Rental real estate amount | | | RentalRealEstateIncomeLossAmt |
| 18 | Farm income or loss | | | NetFarmProfitLossAmt |
| 19 | Unemployment compensation amount | | | UnemploymentCompAmt |
| 20a | Social security benefits amount | | | SocSecBnftAmt |
| 20b | Taxable amount of social security | | | TaxableSocSecAmt |

| 11/17/2017 10:40:19 AM | Page 1 of 5 |
|---|---|

## Figure 1:10

All schema elements are displayed whether or not they are populated.

| | | | |
|---|---|---|---|
| 6b | Exempt spouse name | | ExemptSpouseName |
| 6b | Exempt spouse name control | | ExemptSpouseNameControl |
| 6 | Total exempt primary and spouse count | 1 | TotalExemptPrimaryAndSpouseCnt |
| Dependent Informations | | | |
| 6c(1) | Dependent first name | | DependentFirstName |
| 6c(1) | Dependent last name | | DependentLastName |
| 6c | Dependent name control | | DependentNameControl |
| 6c(2) | Dependent SSN | | DependentSSN |
| 6c(2) | Died Literal Code | | DiedLiteralCd |
| 6c(3) | Dependent relationship | | DependentRelationship |
| 6c(4) | Eligibile for child tax credit indicator | | EligibleForChildTaxCreditInd |
| 6c | More than four dependents | | NumOfOtherDepdListedInd |
| 6c | Number of children who lived with you count | | NumOfChildWhoLivedWithYouCnt |
| 6c | Number of children not living with you count | | NumOfChildNotLivingWithYouCnt |
| 6c | Number of other dependents listed count | | NumOfOtherDepdListedCnt |
| 6d | Total exemptions count | 1 | TotalExemptionsCnt |
| 7 | Wages salaries and tips amount | 45000 | WagesSalariesAndTipsAmt |
| 8a | Taxable interest amount | | TaxableInterestAmt |
| 8b | Tax-exempt interest amount | | TaxExemptInterestAmt |
| 9a | Ordinary F8814 code | | OrdinaryF8814Cd |
| 9a | Ordinary F8814 amount | | OrdinaryF8814Amt |
| 9a | Ordinary dividends amount | | OrdinaryDividendsAmt |
| 9b | Qualified F8814 code | | QualifiedF8814Cd |
| 9b | Qualified F8814 amount | | QualifiedF8814Amt |
| 9b | Qualified dividends amount | | QualifiedDividendsAmt |
| 10 | State local income tax refund amount | | StateLocalIncomeTaxRefundAmt |
| 11 | Alimony received amount | | AlimonyReceivedAmt |
| 12 | Business income loss amount | | BusinessIncomeLossAmt |
| 13 | Capital distribution indicator | | CapitalDistributionInd |
| 13 | Capital gain loss amount | | CapitalGainLossAmt |
| 13 | Form 8814 code | | Form8814Cd |
| 13 | Form 8814 amount | | Form8814Amt |
| 14 | Other Gain Loss Amount | | OtherGainLossAmt |
| 15a | IRA distributions amount | | IRADistributionsAmt |

**Figure 1:11**

A bar is displayed at the beginning of each form schema. This bar includes the schema name, the document ID associated with the schema, any informational text that might be applicable (for example, the dormant indicator for Form 1040), and links (**blue** underlined text) to any supplemental schemas called by the form but not called by a specific line number.

|  |  |  | 100001001 |
|---|---|---|---|
| **IRS1040  [documentId:IRS1040]** | | | |
|  | Special condition description |  | SpecialConditionDescription |
|  | Primary date of death |  | PrimaryDateOfDeath |
|  | Spouse date of death |  | SpouseDateOfDeath |
|  | Special processing literal |  | SpecialProcessingLiteralCd |
|  | Special processing literal |  | SpecialProcessingLiteralCd2 |
|  | Special processing code text |  | SpecialProcessingCodeTxt |
|  | PECF primary indicator |  | PECFPrimaryInd |
|  | PECF spouse indicator |  | PECFSpouseInd |
| 1 thru 5 | Individual return filing status cd | 1 | IndividualReturnFilingStatusCd |
| 3 | Spouses name |  | SpousesName |
| 3 | Non-Resident Alien literal code |  | NRALiteralCd |
| 4 | Head of household qualifying child name |  | QualifyingNameForHOH |
| 4 | Head of household qualifying child SSN |  | QualifyingHOHSSN |
| 6a | Exempt primary indicator | X | ExemptPrimaryInd |
| 6b | Exempt spouse indicator |  | ExemptSpouseInd |
| 6b | Exempt spouse name |  | ExemptSpouseName |
| 6b | Exempt spouse name control |  | ExemptSpouseNameControl |
| 6 | Total exempt primary and spouse count | 1 | TotalExemptPrimaryAndSpouseCnt |
| **DependentInformations** | | | |
| 6c(1) | Dependent first name |  | DependentFirstName |
| 6c(1) | Dependent last name |  | DependentLastName |
| 6c | Dependent name control |  | DependentNameControl |
| 6c(2) | Dependent SSN |  | DependentSSN |
| 6c(2) | Died Literal Code |  | DiedLiteralCd |
| 6c(3) | Dependent relationship |  | DependentRelationship |
| 6c(4) | Eligible for child tax credit indicator |  | EligibleForChildTaxCreditInd |
| 6c | More than four dependents |  | NumOfOtherDepdListedInd |
| 6c | Number of children who lived with you count |  | NumOfChildWhoLivedWithYouCnt |
| 6c | Number of children not living with you count |  | NumOfChildNotLivingWithYouCnt |
| 6c | Number of other dependents listed count |  | NumOfOtherDepdListedCnt |
| 6d | Total exemptions count | 1 | TotalExemptionsCnt |

**Figure 1:12**

When the schemas have multiple choice elements, where only one element can be chosen, the descriptions of each choice element are indented. For example, for Method of Accounting, cash, accrual, and other may apply, but only one can be selected.

| IRS1040ScheduleC | [documentId:IRS1040SchC] | | |
|---|---|---|---|
| | Name of proprietor | LISA JAMES | NameOfProprietor |
| | SSN of proprietor | 100001001 | SSN |
| A | Principal Business | | PrincipalBusinessActivity |
| B | Business activity code | | BusinessActivityCode |
| B | Unclassified Establishment Code | | UnclassifiedEstablishmentCd |
| C | Business Name | business name | BusinessName |
| D | Employer ID Number | | EIN |
| | **Business US address** | | |
| E | Address line 1 | 100 main street | AddressLine1 |
| E | Address line 2 | | AddressLine2 |
| E | City | austin | City |
| E | State | TX | State |
| E | ZIP code | 71000 | ZIPCode |
| | **Business foreign address** | | |
| E | Address line 1 | | AddressLine1 |
| E | Address line 2 | | AddressLine2 |
| E | City | | City |
| E | Province or state | | ProvinceOrState |
| E | Country | | Country |
| E | Postal code | | PostalCode |
| F(1) | Method of Accounting - Cash | X | MethodOfAccountingCashInd |
| F(2) | Method of Accounting - Accrual | | MethodOfAccountingAccrualInd |
| F(3) | Method of Accounting - Other | | MethodOfAccountingOtherInd |

**Figure 1:13**

Items, which can occur multiple times, are displayed in consecutive order with a header indicating the beginning of each occurrence. This example displays two separate items that are included in **Dependent Information**.

| 6a | Exempt primary indicator | X | ExemptPrimaryInd |
|---|---|---|---|
| 6b | Exempt spouse indicator | | ExemptSpouseInd |
| 6b | Exempt spouse name | | ExemptSpouseName |
| 6b | Exempt spouse name control | | ExemptSpouseNameControl |
| 6 | Total exempt primary and spouse count | 1 | TotalExemptPrimaryAndSpouseCnt |
| **Dependent Informations** | | | |
| 6c(1) | Dependent first name | JOHN | DependentFirstName |
| 6c(1) | Dependent last name | JAMES | DependentLastName |
| 6c | Dependent name control | JAME | DependentNameControl |
| 6c(2) | Dependent SSN | 400000020 | DependentSSN |
| 6c(2) | Died Literal Code | | DiedLiteralCd |
| 6c(3) | Dependent relationship | SON | DependentRelationship |
| 6c(4) | Eligibile for child tax credit indicator | X | EligibleForChildTaxCreditInd |
| **Dependent Informations** | | | |
| 6c(1) | Dependent first name | SALLY | DependentFirstName |
| 6c(1) | Dependent last name | JAMES | DependentLastName |
| 6c | Dependent name control | JAME | DependentNameControl |
| 6c(2) | Dependent SSN | 400000021 | DependentSSN |
| 6c(2) | Died Literal Code | | DiedLiteralCd |
| 6c(3) | Dependent relationship | DAUGHTER | DependentRelationship |

**Figure 1:14**

Hyperlinks (**blue** underlined text) are available to jump to supporting details. For example, if a detail exists for *Other Income* on line 21, the description will have a hyperlink (circled in **red** below).

| | | | | |
|---|---|---|---|---|
| | | | | 100001001 |
| 19 | Unemployment compensation amount | | | UnemploymentCompAmt |
| 20a | Social security benefits amount | | | SocSecBnftAmt |
| 20b | Taxable amount of social security | | | TaxableSocSecAmt |
| 21 | Net operating loss literal code | | | NetOperatingLossCd |
| 21 | Net operating loss (NOL) deduction amount | | | NetOperatingLossDeductionAmt |
| 21 | Total other income amount [link:1040OITypeStmt] | | 300 | TotalOtherIncomeAmt |
| 21 | Protective Sec108i ELCRecord Ind | | | ProtectiveSec108iELCRecordInd |
| 22 | Total income amount | | 245300 | TotalIncomeAmt |
| 23 | Educator Expenses amount | | | EducatorExpensesAmt |
| 24 | Business expenses reservists others amount | | | BusExpnsReservistsAndOthersAmt |
| 25 | Health savings account deduction | | | HealthSavingsAccountDedAmt |
| 26 | Moving expenses amount | | | MovingExpensesAmt |
| 27 | Deductible part of self-employment tax [link:IRS1040SchSE] | | 9303 | EmplrEquivalentPrtnSETaxAmt |
| 28 | Self-employed Sep Simple qualified plans amount | | | SelfEmpldSepSimpleQlfyPlansAmt |
| 29 | Self-employed health insurance deduction amount | | | SelfEmpldHealthInsDedAmt |
| 30 | Early withdrawal penalty | | | PnltyOnErlyWthdrwOfSavingsAmt |
| AlimonyAmountGrp | | | | |
| 31a | Alimony Amount | | | AlimonyPaidAmt |
| 31b | Recipient socials security number | | | RecipientsSSN |
| 31a | Total alimony paid | | | TotalAlimonyPaidAmt |
| 32 | IRA Deduction amount | | | IRADeductionAmt |

**Figure 1:15**

Click the hyperlink to view the supporting detail. This example displays the first item included in *Other Income*.

| OtherIncomeTypeStatement  [documentId:1040OITypeStmt] | | | |
|---|---|---|---|
| OtherIncomeTypeStmt | | | |
| | Other income literal code | | OtherIncomeLitCd |
| | Other income code text | other misc income | OtherIncomeCodeTxt |
| | Other income amount | 100 | OtherIncomeAmt |
| OtherIncomeTypeStmt | | | |
| | Other income literal code | | OtherIncomeLitCd |
| | Other income code text | other misc income second | OtherIncomeCodeTxt |
| | Other income amount | 200 | OtherIncomeAmt |
| IRSPayment  [documentId:IRSPayment] | | | |
| | Routing Transit Number | 011900254 | RoutingTransitNumber |
| | Bank Account Number | 000123456789 | BankAccountNumber |
| | Type of Account | 1 | AccountType |
| | Payment Amount in Whole Dollars | 74576 | PaymentAmount |
| | Requested Payment Date | 2013-09-12 | RequestedPaymentDate |
| | Taxpayer's Daytime Phone Number | 8769890988 | TaxpayerDaytimePhone |
| BinaryAttachment  [documentId:BinaryAttach] | | | |
| | Document Type | PDF | DocumentType |
| | Description | Art Appraisal | Description |
| | Attachment Location - short filename without path | 9110EE_KY Form740.pdf | AttachmentLocation |

**Figure 1:16**

## *BOOKMARK VIEW*

The Bookmark view lists the form and schedule schemas included in the PDF file. Click the second icon (circled in **red**) to open this view.
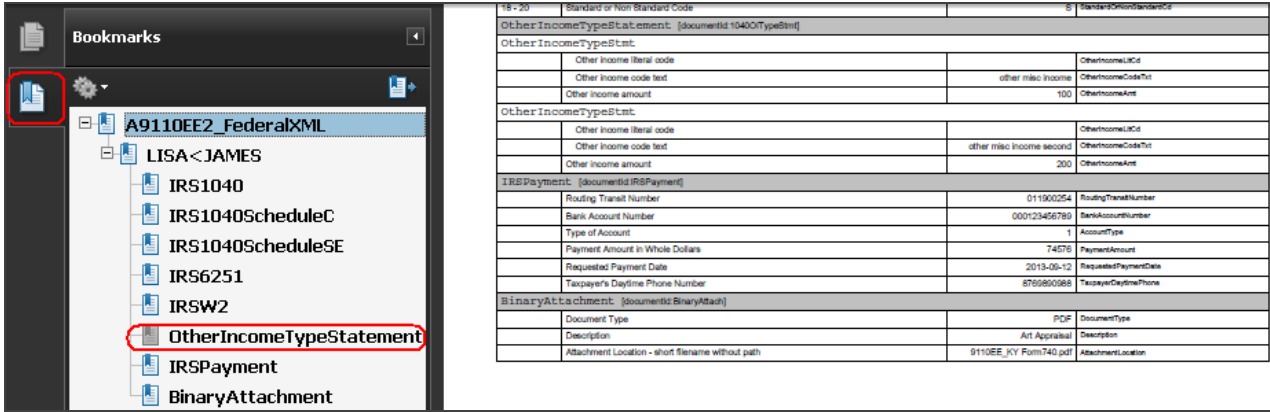
**Figure 1:17**

Click each form or schedule schema to take you to that specific section in the PDF file.
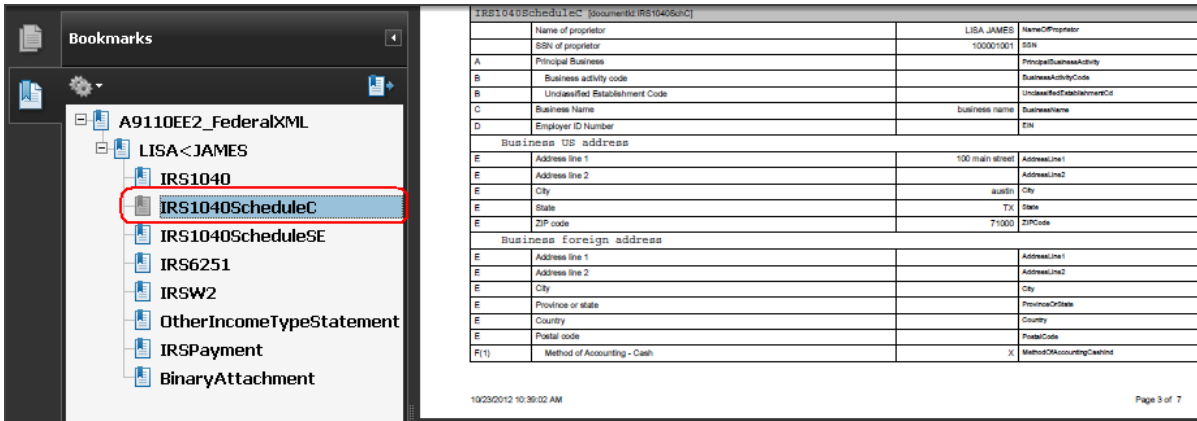
**Figure 1:18**

As shown below, a form, such as Schedule C, can have multiple instances. The total number of forms is shown inside a parenthesis (3). Also, a plus sign is displayed next to the file name when more than one instance of the form exists in the PDF file. Click the plus sign to expand the list and see that each file has a unique identify number (such as IRS1040SchCN1, IRS1040SchCN2, IRS1040SchCN3, and so forth). The first instance of the form is the item shown with the parenthesis, while the second instance has N1 at the end of the description. Click the bookmark to go to the instance of that form.
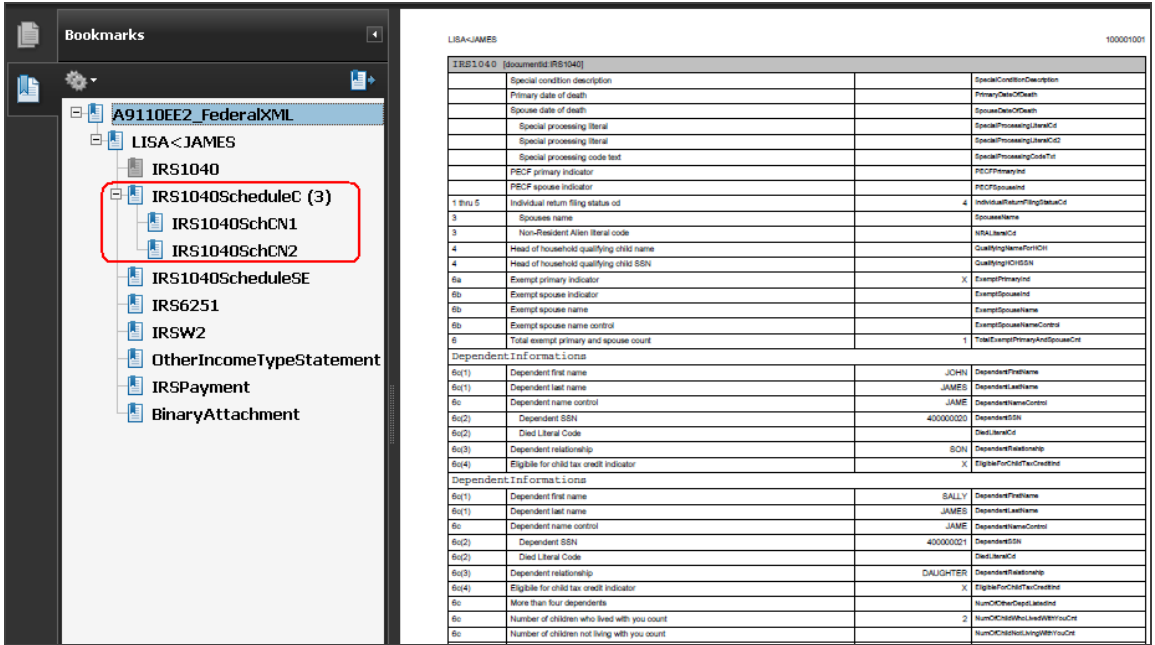


**Figure 1:19**

# OPENING THE E-FILE VIEWER XML FILE

1.  Click the full XML file found beneath the jurisdiction folder. The complete XML data appears.



**Figure 1:20**

2.  You can print the full XML by clicking the **Print** button at the bottom of the XML page.



**Figure 1:21**

# USING THE E-FILE SUMMARY REPORT

The **E-file Summary Report** displays key amounts from both the locator and XML e-file side by side for each jurisdiction that is qualified for e-file to enable review of any differences of the key amounts.

> Even if there are differences, the return can still be submitted for e-file. This is only an alert that the return has been computed subsequent to the last e-file XML creation with different results for key amounts.

There are two places where the E-file Summary Report can be viewed.

# E-file Viewer
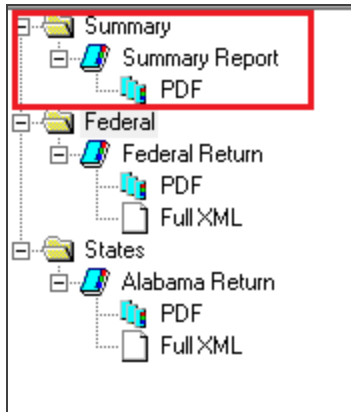


**Figure 1:22**

Click the **PDF** folder to open the PDF file in a separate window.

| Tax Form | Form Field | E-file Value | Tax Return Value |
|----------|-----------|--------------|------------------|
| Federal - 1040 | AGI | 50000 | 50000 |
| Federal - 1040 | Direct Deposit | 364 | 364 |
| Federal - 1040 | Refund | 364 | 364 |
| Federal - 1040 | Taxable Income | 39600 | 39600 |
| Federal - 1040 | Total Payments | 7000 | 7000 |
| Federal - 1040 | Total Tax | 6636 | 6636 |

**Figure 1:23**

# E-file Submission (Returns Processing > E-file > Return)

If the amounts match between the locator and the e-file, the **E-file Status** will be *Qualified*.

1.  If any of the key amounts shown do not match between the locator and the e-file (for example, when the amounts in the locator have changed but a new e-file was not created), the e-file status on RS Browser shows as *Qualified – Mismatch* instead of *Qualified*.

2. Click the *Qualified – Mismatch* status to show the **E-file Summary Report**, which highlights any differences in **red**.

| Close | | | |
|---|---|---|---|
| **E-file Summary Report for Jurisdiction AL** | | | |
| **Tax Form** | **Field** | **E-file XML Value** | **Tax Return Value** |
| ALABAMA-NR | AGI | 85000 | 85000 |
| ALABAMA-NR | Direct Deposit | 0 | 21452 |
| ALABAMA-NR | Refund | 21452 | 21452 |
| ALABAMA-NR | Taxable Income | 71767 | 71767 |
| ALABAMA-NR | Total Payments | 25000 | 25000 |
| ALABAMA-NR | Total Tax | 3548 | 3548 |

**Figure 1:26**

> The return can still be submitted for e-file if the e-file status is *Qualified Mismatch*. This is only an alert that the return has been computed subsequent to the last e-file XML creation with different results for key amounts.

3. To resolve any differences between the e-file and the tax return values, open the locator and re-create the e-file XML file.

# SUBMITTING E-FILED RETURNS

After reviewing the return in E-file Viewer and Info, you are ready to e-file the return.

## Selecting Returns

1. Go to **Returns Processing > E-file > Select Returns**.

2. Make your **Account**, **Year**, **Tax Type** and **Limit List** size options. If your return has a client code, enter that also in order to refine your results. By using the **Assigned To:** option, you can limit the size of the resulting return list even further.

3. You can see the full list of returns available for e-file by choosing *All E-File Types* (not limited to any particular Form) or *All E-File Extensions* (no particular Extension Form).



**Figure 1:27**

# Selecting Federal and State Options

1. Specific federal and/or state options are listed in the drop-down lists for each jurisdiction type – by federal or by states or both. Use this option when you want to narrow the results shown.



**Figure 1:28**

2.  To help you quickly find a specific file to submit to any taxing authority, use the **Find State/City** option.



**Figure 1:29**

3. Choose the jurisdiction you want to e-file in the drop-down list (based on the tax type selected in the basic criteria section above). For our example, we will focus on the 1120 New York state forms list and the IT 204-LL Return.



**Figure 1:30**

4. The **Select Returns/Extension** options will immediately change to the **Other Forms Display e-File Type** and the NY IT-204-LL tax return option.



**Figure 1:31**

5. If this is the return type and jurisdiction you want to e-file, check the box for the **States/Cities ready to send**. Then click **Continue**, and the list of New York IT 204-LL returns that are qualified and ready to send will show on the next page. For *Qualified Mismatch* status, see **Using the E-file Summary Report (page 14)**.

6. You can submit the NY IT 204-LL by using one of three options:

   - Check the **All** check box.

   - Check the **Select** check box.

   - Right-click the **Return ID** number.

7. In this illustration we will check the **Select** box and click the **Submit For E-file** button below the return list. When multiple forms are to be selected, the *Select All* option may be convenient.



**Figure 1:32**

8. The qualified XML file(s) will be submitted to the proper taxing authorities, and a status will automatically be displayed showing the e-file processing stages as the return goes through the submission processes.



**Figure 1:33**
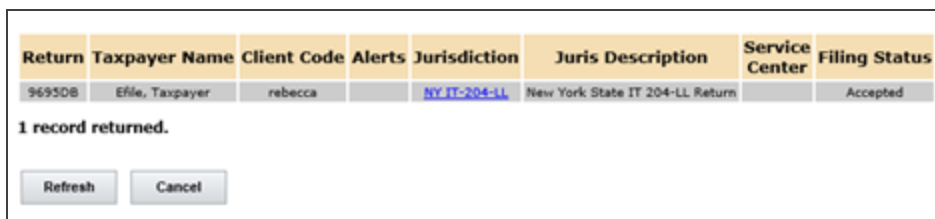


**Figure 1:34**

# STATUSES, CUMULATIVE HISTORIES, AND ACKNOWLEDGMENTS

## Batch Status

Once a return is e-filed, Thomson Reuters begins tracking the stages the return goes through before final acceptance.

One way to review the e-file processing stages is as follows:

1. Select **Returns Processing > E-file > Batch Status**.

2. The **Batch Status** options will default to your login ID, today's date, *All Years*, and *All Return types*. Use the drop-down lists to refine your choices:



**Figure 1:35**

3.  The batch ID and batch detail will appear based on your criteria. Double-click the batch ID hyperlink, and the e-file processing status will display.

**E-file Batches Found:**

| Date/Time | Tax Year | Tax Type | Submitted By | Items | Batch ID |
|---|---|---|---|---|---|
| | | 1120 | | 1 | 74891 |

1 batch found.

Cancel

**Figure 1:36**

**EFILE ELF Status for Batch ID 74891:**

| Return | Taxpayer Name | Client Code | Alerts | Jurisdiction | Juris Description | Service Center | Filing Status |
|---|---|---|---|---|---|---|---|
| 8474IV | Galaxy Industries, Inc. | | | FED | Federal | | Awaiting acknowledgement |

1 record returned.

**Figure 1:37**

# Cumulative E-File History

When you double-click any jurisdiction hyperlink on the **E-file Batch Status** list, a **Cumulative History** report will appear showing current and previous e-file histories for that particular jurisdiction.

The following shows the Batch Status Report and Cumulative History for the recently submitted return:



**Cumulative e-File History**

| Federal | |
|---|---|
| Locator: | 8474IV |
| Taxpayer Name: | Galaxy Industries, Inc. |
| Return Type: | 1120, C |
| | |
| | |
| Submitted Date: | |
| Acknowledgement Date: | |
| Status: | Awaiting acknowledgement |
| Submission ID: | 75771420163425000175 |

Print     Close

**Figure 1:38**

After the state has processed the NY IT 204-LL, it will send the *Accepted* notification to Thomson Reuters. We will update the Batch Status and Cumulative History Reports to show the acceptance.



EFILE ELF Status for Batch ID 305207:

| Return | Taxpayer Name | Client Code | Alerts | Jurisdiction | Juris Description | Service Center | Filing Status |
|---|---|---|---|---|---|---|---|
| 9695DB | Efile, Taxpayer | rebecca | | NY IT-204-LL | New York State IT 204-LL Return | | Accepted |

1 record returned.

Electronic Filing -- Webpage Dialog

**Cumulative e-File History**

| New York State IT 204-LL Return | |
|---|---|
| Locator: | 9695DB |
| Taxpayer Name: | Efile, Taxpayer |
| Return Type: | 1040 |
| | |
| | |
| Submitted Date: | |
| Acknowledgement Date: | |
| Status: | Accepted |
| Submission ID: | 12345620152745000000 |

Print     Close

**Figure 1:39**

# RETURN INFORMATION E-FILE TAB

Another way to review the Cumulative History for a jurisdiction is on the returns list where the specific returns are shown.

1.  Select **Returns** on the top menu. Enter the criteria and options for finding your e-filed return.

2.  Place a check mark next to the return to activate it.

3.  Select **Info**.

4.  Select the **E-filing** tab and review the results.

5.  Select the jurisdiction hyperlink to show the Cumulative History again.



**Figure 1:40**

The **e-Filing** tab contains the following information:

- jurisdiction code

- jurisdiction name

- service center for federal

- alerts

- filing status (see note below)

- e-file type

- creation date

- lock option

- date sent

- date acknowledged

- DCN

- debts

- PIN (federal)

- EIC (federal)

- direct debit acknowledgment received

- direct debit in locator.

    Click the **filing status** to display a printable summary of the e-file, including the following information:

    - report date

    - account number

    - tax type

    - taxpayer name

    - locator number

    - tax year

    - federal

    - severity of error

    - form number

    - form occurrence number

    - field sequence number

    - page number

    - message

    - rule number

    - XML path

    - error message, including links to the e-file reject help system for more information.

# E-file Status Report

The **E-file Status Report** is found in under the **Returns Processing > E-file** menu or the **Reports** menu. This report displays the status on a return-by-return basis of the various stages of e-filed returns and returns that are not yet ready to be e-filed.

Search for returns and jurisdictions on the E-file Status Report as follows:

1. Go to **Reports > E-file Status Report** to enter your search criteria and options.



**Figure 1:41**

2. Choose the search criteria, sorting and filtering choices that will give you the information you want.

3. Make choices for either or both federal and states jurisdictions at the bottom of the **E-file Status Report** options page.



**Figure 1:42**

4. Listed below are the federal and/or state search options and what they do:



**Figure 1:43**

- **Ignore Federal** or **Ignore State**: This option lets you further refine your search criteria and limits the time and volume of data produced in the Status Report.

- **Requested**: This option shows the jurisdictions that have been acknowledged but have not yet been reviewed by the taxing authority.

- **Awaiting Acknowledgment**: This option will show you which returns and jurisdiction have been successfully transmitted but have not yet been through the receiving process of the taxing authority.

- **Conditional Accepted**: The return is accepted with conditions.

- **Accepted**: Choose this option to list the returns and jurisdictions that have been successfully transmitted and accepted by the taxing authorities.

- **Rejected**: Choose this option to see which jurisdictions have been submitted to the correct taxing authority and have been rejected by them. When returns show with this status, you must correct the reason for the rejection and resubmit the tax form.

- **Fed rejected - state not processed**: If the federal return and state return are submitted together, and the federal return is rejected, the state return will not be processed. The following 1040 states require that the federal return be filed with the state return: Alabama (residents only), Arizona, Arkansas, Kansas, Michigan (only if federal 8879 is used), Mississippi, Oklahoma.

- **Error - Not Submitted**: This status will list returns that encountered errors during the transmission of submitted jurisdictions. Returns with this status will need to be resubmitted to the taxing authorities.

- **Ready to Send**: Qualified jurisdictions not yet submitted will be shown on the report when this option is chosen.

- **Not Ready to Send**: This option will show you which returns and jurisdictions still have e-file diagnostics in the return's Organizer or other disqualifications that prevent them from being successfully e-filed.

- **All Statuses (excluding Ready to Send)**: This option will show you all of the returns that have been submitted for e-file and all the current statuses for each jurisdiction within each submitted return.

## E-FILE STATUS REPORT RESULTS

- Option chosen: **Error Not Submitted**

This option is for both federal and state jurisdictions for both returns and extensions (All E-file Types). This option will list the submitted returns that, for any reason, cannot finish the submission process.

| Export Report To PDF | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| **1120 Returns Found in Account** | | | | | | | | |
| **Total Record Count : 1** | | | | | | | | |
| ** - This indicator is an acknowledgement that the jurisdiction has received direct debit information. Please note that not all jurisdic | | | | | | | | |
| *** - Federal Only | | | | | | | | |
| Locator | Tax Type | Taxpayer Name | Client Code | Alerts | Juris Abbr. | Juris Description | E-File Status | |
| 6362GM | 1120 | Rebecca's Second 1120S | Rebecca | | FED | Federal | Error - Not Submitted | |

**Figure 1:44**

- Option chosen: **Accepted** status for both federal and states looks like this:



**Figure 1:45**

Clicking the hyperlink on a listed jurisdiction abbreviation will display the Cumulative History Report for the selected jurisdiction.



**Figure 1:46**

- Option chosen: **Ready to Send** for both federal and states produces a Status Report like this:



**Figure 1:47**

You can export this report to a PDF format or an Excel spreadsheet.

- Option chosen: **Not Ready to Send** – states only for All Tax Types



**Figure 1:48**



**Figure 1:49**
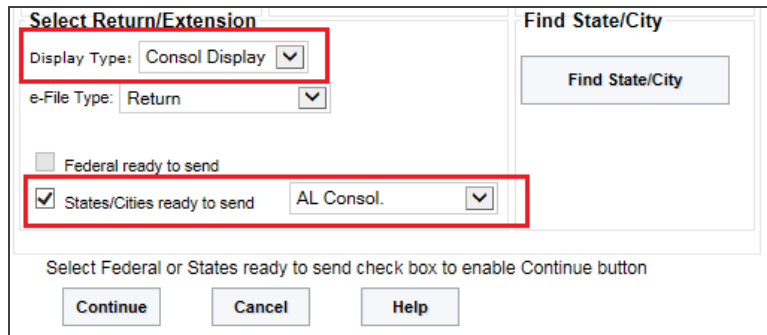
# CHAPTER 2: 1065/1120 MANDATORY STATE MEMBERS E-FILE REQUIREMENT

Currently the states of Alabama and New York Business Returns (tax types 1065 and 1120) require that all members of a consolidated group (parent, subsidiary, etc.) must be submitted separately for e-file. When a lower member return containing either of these two states are brought into an upper level consolidated return and qualified for e-file, not only does the top level return have to be submitted for e-file, but each of the lower members of the group must be qualified and submitted as well.

To do this, we have included a search feature unique for those two states. To e-file either Alabama or New York, go to the **Returns Processing > E-file > Select Returns** menu.

## CONSOL DISPLAY OPTION

1. On the **Select Returns/Extension** options, choose the **Consol Display Type** and the **Return E-file Type** as shown below:



**Figure 2:1**

2.  The results will display the top and member returns for either Alabama or New York. In this case, only the Alabama consolidated returns will show since Alabama was selected on the previous page.



**Figure 2:2**

3.  In order to submit the Alabama consolidation return along with the lower members, you MUST click the hyperlink of the **top consolidated** return.



**Figure 2:3**

4.  On the next page, the Alabama return will be shown along with the **Select** check mark or hyperlink option.

5. When the return is selected, click the **Submit For E-File** button to complete the Alabama consolidated e-file submission process.



**Figure 2:4**

6. When you click the **Submit for E-File** button, the Alabama (or New York) topcon and all members of the selected consolidated return will be submitted to the Alabama (or New York) taxing authority.

# REGULAR DISPLAY OPTION

1.  When the **Display Type** is *Regular*, the **E-file Type** is *Return*, and the **States/Cities** option is *Alabama*, you will see a list of all Alabama returns whether they are Single or Consolidated returns.



**Figure 2:5**



**Figure 2:6**

2.  All check boxes displayed beside Alabama (or New York) consolidated returns are grayed out and are not available to **Submit For E-File**. A message will pop up reminding you to submit this return with the entire consolidated group. Click the hyperlink on the subsidiary return ID.

3.  Since this top consolidation return includes a qualified Alabama XML, you must click the hyperlink as shown above.

4. From the second **Return Found** screen, you must check the Alabama return to submit for e-file.



**Figure 2:7**

Note that now a check box is active and the return's hyperlink is available. Either option will allow you to submit the Alabama topcon and all its members to the Alabama taxing authority.

# SINGLE ALABAMA OR NEW YORK FORMS

You can submit single returns on the *Regular Display* option from the first **Returns** screen by clicking the hyperlink or putting a check mark in the **Selected** column. In this case, this return has a Single Alabama return ready for e-file.



**Figure 2:8**

# REGULAR DISPLAY WITH ALL STATES OPTION

When the *All States/Cities E-file* option is chosen, the results on the **Returns** screen will show all qualified states and cities for all entity types.



**Figure 2:9**

Single company returns with Single Alabama and/or New York will allow you to submit these two states in the same way as all other Single company jurisdictions. Simply check the **All** check box or the **Select** box or hyperlink for any or all of the Single company states.

# CONSIDERATIONS FOR OTHER STATES

Consolidated New York and Alabama must be accessed from the Alabama or New York hyperlinks in order to e-file the parent, subsidiary and consolidated returns. If you click the *Select All* option on the initial **Returns** screen, the Alabama and/or New York consolidations will NOT be submitted.

For consolidation companies with states other than Alabama and/or New York, you have two options for submitting these other states for e-file.

1. **From the Returns screen**: All the qualified states will display and be available to submit for e-file except for Alabama and New York. Check the **Select** option next to the states and click the **Submit For E-File** button at the bottom of the screen. All states *other than the two mandatory states* can be submitted to their respective jurisdictions from the first **Returns** screen.

| All | Select | Return | Juris Abbr. | Juris Description | Taxpayer Name |
|---|---|---|---|---|---|
| ☑ | ☑ | 2259IB | FED | Federal | Reb 2014 TopCon - AL, MA, NY |
| | ☐ | 2259IB | AL | Alabama | Reb 2014 TopCon - AL, MA, NY |
| | ☑ | 2259IB | AR | Arkansas | Reb 2014 TopCon - AL, MA, NY |
| | ☑ | 2259IB | FL | Florida | Reb 2014 TopCon - AL, MA, NY |
| | ☑ | 2259IB | LA | Louisiana | Reb 2014 TopCon - AL, MA, NY |
| | ☑ | 2259IB | MA | Massachusetts | Reb 2014 TopCon - AL, MA, NY |
| | ☑ | 2259IB | MN | Minnesota | Reb 2014 TopCon - AL, MA, NY |
| | ☑ | 2259IB | NM | New Mexico | Reb 2014 TopCon - AL, MA, NY |
| | ☐ | 2259IB | NY | New York | Reb 2014 TopCon - AL, MA, NY |
| | ☑ | 2259IB | PA | Pennsylvania | Reb 2014 TopCon - AL, MA, NY |
| | ☑ | 2259IB | PHI | Philadelphia BIRT | Reb 2014 TopCon - AL, MA, NY |
| | ☑ | 2259IB | TX | Texas | Reb 2014 TopCon - AL, MA, NY |
| | ☑ | 2259IB | VA | Virginia | Reb 2014 TopCon - AL, MA, NY |
| | ☑ | 2259IB | WI | Wisconsin | Reb 2014 TopCon - AL, MA, NY |

**Figure 2:10**

2. **From the Alabama or New York hyperlink**: If an Alabama or New York consolidated return is grayed out on the initial **Returns** page, then you must click the Alabama or New York hyperlink. The results will give you the same list of qualified states as above, but now you can submit the Alabama and/or New York parent, subsidiary, and consolidated returns as well.



**Figure 2:11**

From this hyperlink on the initial **Returns** screen, review and check the **Select** box next to each jurisdiction that is part of your Alabama and/or New York consolidated group as well as all Alabama and/or New York consolidated group members. All state returns checked on this **Returns** screen will be submitted for e-file when you click the **Submit For E-file** button at the bottom of the screen. If you prefer, you may submit the returns by using the jurisdiction's hyperlink.

# CHAPTER 3: OTHER RESOURCES

For information about creating specific tax application returns for e-file, see the following:

| TAX APPLICATION | GUIDE |
|---|---|
| 1040 | <ul><li>1040 E-file</li><li>1040 State E-file Information</li><li>1040 State E-file Summary</li><li>1040 Federal and State E-filed Forms</li><li>1040 E-filed PDF Filenames</li></ul> |
| 1041 | <ul><li>1041 E-file</li><li>1041 State E-file Information</li><li>1041 State E-file Summary</li><li>1041 Federal and State E-filed Forms</li><li>1041 E-filed PDF Filenames</li></ul> |
| 1065 | <ul><li>1065 E-file</li><li>1065 State E-file</li><li>1065 State E-file Information</li><li>1065 State E-file Summary</li><li>1065 Federal and State E-filed Forms</li><li>1065 E-filed PDF Filenames</li></ul> |
| 1120 | <ul><li>1120 E-file</li><li>1120 State E-file</li><li>1120 State E-file Information</li><li>1120 State E-file Summary</li><li>1120 Federal and State E-filed Forms</li><li>1120 E-filed PDF Filenames</li></ul> |
| 990 | <ul><li>990 E-file</li><li>990 State E-file Information</li><li>990 State E-file Summary</li><li>990 Federal and State E-filed Forms</li><li>990 E-filed PDF Filenames</li></ul> |

| TAX APPLICATION | GUIDE |
|---|---|
| 5500 | • 5500 E-file<br>• 5500 Federal E-filed Forms<br>• 5500 E-filed PDF Filenames |
| Form 114 | Form 114 FBAR E-file |