



# MANUAL TRANSMITTAL

Department of the Treasury  
Internal Revenue Service

7.14.5

JUNE 15, 2021

## EFFECTIVE DATE

(06-15-2021)

## PURPOSE

- (1) This transmits revised IRM 7.14.5, Employee Plans EDS User Manual, Inventory Control Subsystem (ICS).

## MATERIAL CHANGES

- (1) Added Internal Controls sections. Amended and renamed IRM 7.14.5.1, Program, Scope and Objectives. Added IRM 7.14.5.1.1, Background; IRM 7.14.5.1.2, Authority; IRM 7.14.5.1.3, Responsibilities; and IRM 7.14.5.1.4, Acronyms.
- (2) Material contained in prior IRM 7.14.5.1, Overview, is now contained in IRM 7.14.5.2, Case Assignment.
- (3) Material contained in prior IRM 7.14.5.2, Case History, is now contained in IRM 7.14.5.3. Sections that follow have been sequentially updated.
- (4) Updated for plain language and editorial changes.

## EFFECT ON OTHER DOCUMENTS

This supersedes IRM 7.14.5 dated September 3, 2015.

## AUDIENCE

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7.14.5

Inventory Control System (ICS)

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7.14.5.1  
(06-15-2021)  
**Program Scope and Objectives**

- (1) **Purpose:** This IRM lists instructions on Employee Plans/Exempt Organization Determination System (EDS) Inventory Control System (ICS) for Employee Plans (EP) specialists, reviewers and managers. ICS has many features which allow users to manage, track, and control applications in EDS.
- (2) **Audience:** Employee Plans (EP) Determinations and Quality Assurance (QA) staff
- (3) **Policy Owner:** Director, EP
- (4) **Program Owner:** EP
- (5) **Program Goals:** The goal of EP Determinations is to ensure that plans are in compliance with the tax laws by reviewing applications for Determination Letters (DL) and opinion letters, and to protect the public interest by applying the tax law with integrity and fairness to all.

7.14.5.1.1  
(06-15-2021)  
**Background**

- (1) EDS was previously used to process determination letter (DL) applications from their establishment in the system to their closing. However, now EP uses the Tax Exempt Determination System (TEDS) as its primary system. While EP uses TEDS for most of its DL application processing, we continue to close and generate DLs in EDS.
- (2) EDS is divided into six sub-sections.
- (3) The available options under the ICS are: case assignment, status update, closing data, re-sending EDS and MPS unpostable information, and research capabilities.

7.14.5.1.2  
(06-15-2021)  
**Authority**

- (1) Delegation Order 7-1, IRM 1.2.2.8.1, states the Director, Employee Plans has authority to issue favorable DLs on the qualified status of:
  - a. Pension, profit-sharing, stock bonus, annuity, and employee stock ownership plans under IRC 401, IRC 403(a), IRC 409, IRC 4975(e)(7).
  - b. The status for exemption of any related trusts or custodial accounts under IRC 501(a).
- (2) See IRM 7.1.1, Exhibit 7.1.1-1 for a complete list of the major EP revenue procedures currently in effect.

7.14.5.1.3  
(06-15-2021)  
**Responsibilities**

- (1) Find a complete list of delegation orders governing EP Rulings and Agreements at <http://www.irs.gov/privacy-disclosure/delegation-orders-and-policy-statements-by-process>.
- (2) The Director, EP supervises and is responsible for:
  - a. EP Rulings and Agreements
  - b. EP Examination functions
  - c. EP Program Management Staff
- (3) The Director, EP Examination, supervises and is responsible for:
  - a. EP Examinations
  - b. EP Examinations, Area Managers

7.14.5.1.4  
(06-15-2021)  
**Acronyms**

- (1) The table lists commonly used acronyms and their definitions.

Acronym	Definition
DL	Determination Letter
DTS	Data Transcription System
EDS	Employee Plans/Exempt Organization Determination System
EPMF	Employee Plans Master File
EP	Employee Plans
ICS	Inventory Control System
ID	Identification Number
MPS	Masterfile Pipeline System
TEDS	Tax Exempt Determination System
TE/GE	Tax Exempt and Government Entities
TEQMS	Tax Exempt Quality Measurement System
TOPS	TE/GE Operational Program Support

7.14.5.2  
(09-03-2015)  
**Case Assignment**

- (1) Employees who use ICS must have a five digit Identification Number (ID) to access the system. Each ID is assigned one of three function codes (manager, group secretary or specialist) that describes the duties the employee is permitted to perform.
- Cases can only be assigned to an ID with a function code of specialist.
  - Employees acting for a manager or group secretary must have their ID function code updated to manager or group secretary to approve case closings. Cases may not be assigned to that employee's ID until their function code is set back to a specialist.
- Note:** To add or change employee functions in EDS, submit a help ticket with TE/GE Operational Program Support (TOPS) through the OS GetServices website at: <http://erc.web.irs.gov/default.asp?SEID=tabs>
- (2) At the ICS Main Menu (See Exhibit 7.14.5-2), you can access these screens:
- Query/Update Master Record and Status Screen - Exhibit 7.14.5-3
  - Case History Record Screen - Exhibit 7.14.5-6
  - Multiple Case Assignment/Reassignment Screen - Exhibit 7.14.5-7
  - Reprint Transmittal Sheet Screen - Exhibit 7.14.5-8
  - Approval of Case Closings - Exhibit 7.14.5-9
  - Print Closing Screen - Exhibit 7.14.5-10

- g. Multiple Status 51/58/60/75 Updates Screen - Exhibit 7.14.5-12
- h. Re-open To Review Screen - Exhibit 7.14.5-13
- i. Multiple Merit Closure Assignment Screen - Exhibit 7.14.5-15

**Note:** You can also access the Letter Generation System (LGS) through the ICS Main Menu. See IRM 7.14.4, Employee Plans EDS User Manual, Letter Generation.

7.14.5.3  
(08-02-2012)  
**Case History**

- (1) When IRS establishes a DL application in EDS through the Data Transcription Subsystem (DTS) (See IRM 7.14.2, Employee Plans EDS User Manual, Data Entry), the system creates an inventory record in ICS and generates an EDS case number for the case.
- (2) The inventory record allows the system to create a case history for each of these employee case actions:
  - a. Updating data.
  - b. Entering closing data.
  - c. Updating the status.

Each action generates a record with the date, action type, and employee's ID who updated the case.

- (3) View the case history by entering the case number in the Update Master Record screen. When the record is displayed, press F6.

7.14.5.4  
(08-02-2012)  
**Closing Approval**

- (1) Enter a proposed closing code and closing data for each case. Closed cases are approved by managers and may be selected for Tax Exempt Quality Measurement System (TEQMS). See IRM 7.11.3, Employee Plans Determination Letter Program, Tax Exempt Quality Measurement System (TEQMS).
- (2) A case's closing data is electronically transferred to the EDS Masterfile Pipeline System (MPS) in the service center to update the Employee Plans Master File (EPMF) and the Management Information Subsystem (MIS) in the Detroit Computer Center.
- (3) If the case is not selected for mandatory or TEQMS Quality Assurance review, the manager or group secretary enters the case number in the Case Approval screen. Only the manager or group secretary function codes may access this screen.

7.14.5.5  
(08-02-2012)  
**Output of the Inventory Control System**

- (1) ICS generates the Form 8671, Employee Plan Case Closing Sheet. See Exhibit 7.14.5-14, EDS - Employee Plan Case Closing Sheet.
- (2) The group secretary prints the form from the Print Closing Screen (Exhibit 7.14.5-10) and includes it in the case file when he/she submits the case to the manager for closing approval.
- (3) The manager verifies the data on the closing sheet and initials the form when approving the case for closure.

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**Exhibit 7.14.5-1 (08-02-2012)****EDS Main Menu - Inventory Control System**

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(1) You'll see this menu when you log into EDS.

EDS-CES-30

EP DETERMINATION SYSTEM (EDS)

- (1) Reserved
- (2) Data Transcription System Menu (DTS)
- (3) Inventory Control System Menu (ICS)
- (4) Management Information System Menu (MIS)
- (5) File Maintenance System menu (FMS)
- (0) EXIT

\*\*\*Select one of the above: \_\_\_\_\_

Hit F1: Execute

F10: Exit

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(2) EDS users can select options 2 through 5. Select option 3 and press F1 to access the ICS Menu.

**Exhibit 7.14.5-2 (08-02-2012)****Inventory Control System (ICS) Main Menu**


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(1) When you select option 3 from the EDS Main Menu, this screen displays.

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EDS-ICS-40ep EP DETERMINATION SYSTEM (EDS)

INVENTORY CONTROL SYSTEM MENU (ICS)

- (01) Query/Update Master Record and Status
- (02) Reserved
- (03) Multiple Case Assignment
- (04) Letter Generation System
- (05) Reprint Transmittal Sheets
- (06) Reserved
- (07) Print Closing Forms
- (08) Approval of Closed cases
- (09) Reserved
- (10) Multiple Status 51/58/60/75 Updates
- (11) Re-Open To Review
- (12) Multiple Merit Closure Assignment
- (00) EXIT

\*\*\*Select one of the above: \_\_\_\_\_

Hit F1: Execute      F10: Exit

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(2) Enter a valid option number and press F1.

Validity Checks		
ITEM	PROMPT	DESCRIPTION
1	Select one of the above	Must be one of the valid option number(s) (00, 01 - 12).

**Exhibit 7.14.5-3 (08-02-2012)****Query/Update Master Record and Status**

(1) When you select option 1 from the ICS Main Menu, this screen displays. Any login that TOPS has added to the EDS Employee Master file may use this screen.

EDS-ICS-644a	UPDATE MASTER RECORD -EMPLOYEE PLAN	
***Select one of the following: ____		
(1) Research Only (2) Update Status (Open Codes Only) (3) Update Master Record Only (4) Update Status, Master Record or Closing Data (5) Update MIR Data After Closing (6) Print Case History (7) Print Closing Form		
Enter Search Criteria	DLN:	_____
	Case No:	_____
	EIN:	__-____ Plan No: _____
	FFN:	_____
	Name Cntl:	_____ Zip: _____
	TEDS case No:	_____
Hit F1: Execute - F10: Exit		

(2) Use the initial query screen to select one of the menu options shown above and display the Update Master Record screen or the Print Format/Selection Screen. This same Master File Screen comes up for each menu option except Notices of Qualified Separate Line of Business (QSLOB) filed on Form 5310-A. QSLOB notices will display a unique screen (see Exhibit 7.14.5-4). You may have limited access to some fields depending on the menu option you select. (See item 13 below.)

(3) You must input an entry in one of the eight fields to retrieve an application or notice. The application or notice is identified by the DLN, Case Number, or TEDS case number, which you can use to query it. You can also query by other items but these are not always unique and therefore, you may need to further identify the application.

Use these identifiers to search for an application:

- EIN
- EIN and Plan Number
- File Folder Number
- Name Control
- Name Control and Zip Code

(4) Enter the item(s) according to the validity checks below.

**Exhibit 7.14.5-3 (Cont. 1) (08-02-2012)**  
**Query/Update Master Record and Status**

(5) Press F1.

(6) If there are no input errors the screen will display the Master Record(s) found.

a. If searching using EDS case number, DLN, or TEDS case number, you'll see the Update Master-Case Control Screen below when only one record is found. If the record is a QSLOB notice, you'll see the screen in Exhibit 7.14.5-4.

b. If more than one record is found continue at (9), below.

(7) If an input error occurs, the error message appears and the cursor is positioned on the field in error.

a. Correct the input error.

b. Continue at (5), above.

(8) If the first record displayed is not the one you are searching for, press F2 to display the NEXT record. Continue pressing F2 until you find the record you're looking for or you receive the message "No more records in this direction." Press F4 to go back to previously displayed records.

(9) When you find the correct record, press F1 and the Master Record appears.

(10) To search a different item(s) for another Master Record, press F5. Enter the new search item(s) and continue at (5), above.

(11) Each option (1 - 5) determines which fields on the screen below you may update.

**Note: Do not update a case in EDS if it is currently being worked in TEDS. This will create an EDS block.**

a. Option 1 - Use this screen for research. You may not update any field.

b. Option 2 - Use this screen to change open inventory status fields. You may enter updates to Status Date, Status (Open Codes only), Specialist Number, Case Grade, Hours, Reviewer Number and Reviewer Hours fields. You may not enter or update closing codes in this option (See Option 4 below). You may update hours prior to your manager approving the case closing. You aren't required to input ALL fields for the system to validate the status update. You can't use Option 2 to display a QSLOB notice.

c. Option 3 - Use this screen to update Master File type fields. You can update all fields except the Status Date, Status, Specialist Number, Hours, Case Grade, Reviewer Number, and Reviewer Hours. When you use this option 3, the system won't validate inventory status fields.

d. Option 4 - Use this screen to enter or update the inventory status type fields, Master File type fields, MF Indicator, and proposed closing data. The system will perform validity and consistency checks on all fields. Use this option to close a case. You can't use Option 4 to display a QSLOB notice.

e. Option 5 - Use this screen to update management information report (MIR) fields after closing (after the Case Approval Screen). You may update Status (Closing Codes only, except 30), Specialist Number, Hours, Case Grade, Reviewer Number, Reviewer Hours, Total Participants and Benefit Type. Only users who have a MF Status of 3 or 30 may use Option 5. See IRM 7.14.5.2(3) for how to create a help desk ticket if you need to change your MF Status. You can't use Option 5 to display a QSLOB notice.

**Exhibit 7.14.5-3 (Cont. 2) (08-02-2012)**  
**Query/Update Master Record and Status**

**Validity Checks**

ITEM	PROMPT	DESCRIPTION
1	Select one of the following	Must be 1 - 7.
2	DLN	Document Locator Number. Must be numeric.
3	Case No	Case Number. Must be numeric.
4	EIN	Employer Identification Number. Must be numeric.
5	Plan No	Three digit plan number. Must be numeric.
6	FFN	File Folder Number. Must be numeric.
7	Name Cntl	Name Control. See below to determine the Name Control of the Plan Sponsor.
8	Zip Code	Five digit Zip Code. Must be numeric.
9	TEDS case No	Seventeen digit number assigned by TEDS.
10	Plan Sponsor Name	Display only. Name of the plan sponsor.
11	Form	Display only. Application form number and Version.
12	Cntl Dt	Display only. Control Date.

(12) When you select options 1 – 5, you'll see the following screen. The record is an application or notice of merger. Press F1 from the initial query screen. When you select options 1 or 3 (see Exhibit 7.14.5-4), you'll see the Update Master File screen for QSLOB. You may update fields on these screens as described in the validity checks below. The system evaluates all fields for validity and consistency depending on the menu option you select. Option 6 or 7 displays the Print Format/Selection Screen (see Exhibit 7.14.5-11 for using the Print Format/Selection screen).

EDS-ICS-644b1 UPDATE MASTER RECORD -EMPLOYEE PLAN

DLN: \_\_\_\_\_ TEDS Case No: \_\_\_\_\_ Case No: \_\_\_\_ User Fee: \_\_\_\_\_ EIN: \_\_\_\_ -

\_\_\_\_\_ Plan No: \_\_\_\_\_ FFN: \_\_\_\_\_ Req Type: \_\_\_\_

Form: \_\_\_\_\_ Ver: \_\_\_\_ Rev: \_\_\_\_\_ Area Office: \_\_\_\_ Control Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

Plan Sponsor Name:	_____	Name Control: _____
	_____	Form 5309: ____
	_____	Entity Type: _____
	_____	Model Plan Type: ____

**Exhibit 7.14.5-3 (Cont. 3) (08-02-2012)**  
**Query/Update Master Record and Status**

DBA: \_\_\_\_\_ 401(K): \_\_\_\_\_

In Care Of: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_ - \_\_\_\_\_

Name of Plan: \_\_\_\_\_

\_\_\_\_\_ Plan Year Ends: \_\_\_\_\_

Benefit Type: \_\_ Total Part: \_\_\_\_\_ Termination/Merger Effec Dt: \_\_/\_\_/\_\_

Ltr Serial No: (DO) \_\_\_\_\_ (NO) \_\_\_\_\_ Vesting: \_\_ Reversion Amt: \_\_\_\_\_

Reason for Termination: \_\_ Plan Effec Dt: \_\_/\_\_/\_\_ Law Indicator: \_\_

Dishonored Check: \_\_ userfee Payment Status: \_\_ MF: \_\_ Dt: \_\_/\_\_/\_\_

\*\*\*Date: \_\_/\_\_/\_\_ Status: \_\_ Specialist No: \_\_\_\_\_ Hours: \_\_\_\_ Case Grade: \_\_\_\_

Last Letter Created: \_\_\_\_\_ Reviewer No: \_\_\_\_\_ Hours: \_\_\_\_ TC013: \_\_

Hit \_\_F5: New Search \_\_F6: Case History F10: Exit

**Exhibit 7.14.5-3 (Cont. 4) (08-02-2012)**  
**Query/Update Master Record and Status**

(13) To update a record, type the data in the field(s) according to the validity checks below. (If not updating, press F5 to bypass the validity and consistency checks, and no changes will be made to the data.)

**Note: Do not update a case in EDS if it is currently being worked in TEDS. This will create an EDS block.**

(14) Press one of the function keys described at the bottom of the screen (F1, F5, F6 or F10). The function keys' purposes are displayed at the bottom of the screen. If the Form and Version is 5310A and the type request is NM, NS or NT, press F4 to bring up the Update Master Record screen for Merger, Spin Off or Transfer of Assets (Exhibit 7.14.5-5).

(15) If there are no input errors, the function keys listed below will perform the following tasks:

	a. F1, updates the record and displays the initial query screen for the next query.
	b. F2, displays the next record or case history screen. If the Form is 5310, the Version is A and the Type Request is NM, NS or NT, then Spin Off or Transfer of Assets (Exhibit 7.14.5-5) displays.
	c. F4, displays previous record, previous screen or the Update Master File screen. If the Form is 5310, the Version is A and the Type Request is NM, NS or NT, then Mergers, Spin Off or Transfer of Assets (Exhibit 7.14.5-5) displays.
	d. F5, when pressed, doesn't make changes to the record and displays the initial query screen for the next query.
	e. F6 displays the Case History screen (Exhibit 7.14.5-6).
	f. F10, when pressed, doesn't make changes to the record and displays the ICS Menu.

(16) If there is an input error, the error message will appear and the cursor is positioned on the field in error.

	a. Correct the input error.
	b. Continue at (13), above.

(17) When researching in the Query/Update Master Record and Status and Status Screen, press F5 to bypass updating the record or use Option 1. You'll see the initial query screen for the next query.

(18) When you enter a proposed closing code, the system displays a current status of 55, Waiting for Case Approval. Enter all case(s) on the Case Approval Screen. Case(s) will be considered for TEQMS Sample and/or Mandatory review and updated to status 31 if selected. See Exhibit 7.14.5-10. Update all case(s) to status 31 in the Approval Screen. If a case is not selected for review, the group secretary enters the closing code.

(19) If you inadvertently close a case, a manager or group secretary can reopen the case and update the status to 31. Once the batch has been run, however, the record may not be reopened. See Exhibit 7.14.5-11.

(20) To assign multiple case(s) to one specialist, see Exhibit 7.14.5-7.

(21) The system displays a message to verify any hours entered greater than 10 (010.0) for all proposed closing codes except 06. If the proposed closing code is 06, the system displays a message to verify any hours greater than one (001.0) hour.

**Exhibit 7.14.5-3 (Cont. 5) (08-02-2012)**  
**Query/Update Master Record and Status**

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(22) Reviewer Number and Hours must be entered when you update a case status to 32, 54 or 56 or prior to entering the case number on the Case Approval Screen (Exhibit 7.14.5-10) The system displays a message to verify any hours greater than one (001.0) hour.

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(23) The system displays a message to verify the name control when you enter a proposed closing code and the service center reported a mismatch when the opening record was established on EACS. Place a bracket (]) in the correct position of the name or enter a Y to signal the batch program to send a name update to Master File. THIS MESSAGE displays WHEN THE SERVICE CENTER REPORTS A DIFFERENT NAME CONTROL ON MASTER FILE FROM THE NAME CONTROL ON THE EDS CASE BEING ESTABLISHED.



**Exhibit 7.14.5-3 (Cont. 6) (08-02-2012)**  
**Query/Update Master Record and Status**

**Validity Checks**

ITEM	PROMPT	DESCRIPTION
1	DLN	Document Locator Number. Display only.
2	TEDS case number	TEDS case number. Display only.
3	Case No	Case number. Display only.
4	User Fee	User Fee. Display only.
5	EIN	Employer Identification Number. Must be numeric. The third digit must not contain a "9". The first two digits must be in the following ranges: 01-06, 11, 13-16, 21-25, 31, 34-39, 41-48, 51-59, 61-67, 71-76, 81-88, 91-99.
6	Plan No	Three digit plan number. Must be numeric.
7	FFN	File folder number. Must be numeric. The first two digits must match the first two digits of the case number.
8	Req Type	Request Type. The first character is a display only. Must be one of the following:
		I -Initial Application
		A -Amendment Application
		T -Termination Application
		NM - Notice of Merger
		NQ - Notice of Qualified Separate Line of Business
		Form Revision 05/89 and Later
		Form Request Type
		5300 I, A
		5307 I, A
		5310 T
		5310A NM, NQ
		5316 I, A
9	Form	Display Only. Form Number of Application. Should be one of the following:
		5300, 5307, 5310, 5310A or 5316
10	Ver	Display only. Version Code. Should be A, B or blank.
11	Rev	Display only. Revision date of the application form.

**Exhibit 7.14.5-3 (Cont. 7) (08-02-2012)**  
**Query/Update Master Record and Status****Validity Checks**

<b>ITEM</b>	<b>PROMPT</b>	<b>DESCRIPTION</b>
12	Area Office	Area Office. 01 - Northeast Area, 02 - Mid-Atlantic Area, 03 - Great Lakes Area, 04 - Gulf Coast Area, 06 - Pacific Coast Area, 07 - Foreign (including Guam/Puerto Rico/Virgin Islands), 08 - Military and 09 - Unused.

**Exhibit 7.14.5-3 (Cont. 8) (08-02-2012)**  
**Query/Update Master Record and Status**

**Validity Checks**

ITEM	PROMPT	DESCRIPTION
13	Control Date	Control date entered during transcription. May be updated if the MF Status is "0" or "5", otherwise a display only field. See item 33 below for the description of MF status.
14	Plan Sponsor Name (Line 1)	Must be entered. If the Plan Sponsor Name is more than 35 characters long, continue on line 2. Do not break a word after exactly 35 characters, carry the full word or grouping to line 2. All 35 positions of line 1 do not have to be filled to continue on line 2. The first position must be alphabetic or numeric. No characters may follow two consecutive blanks, except blanks. All characters on the keyboard may be entered. The characters that are sent to Master File are alphabetic, numeric, hyphen, ampersand, right bracket "(A-Z, 0-9, -, &, ]," and blank). All other characters entered will be stripped from the line before sending to Master File.
		NAME CONTROL - The name control must be designated by a right-hand bracket(s) (]) if other than the first four characters of the name are used to generate the name control. To prevent an unpostable when the case is sent to the EPMF, make sure that the name control is correct. The word "THE" should not be used as a name control unless only one word follows "THE".
		Note: Do not place blanks on either side of the right-hand bracket(s). You may have no more than 2 right-hand brackets. Before entering, validate that the name on the application matches the legal name shown on the plan documents.
		Examples: 1. PELICAN COMPANY No brackets necessary because the first four positions are the name control.
		2. THE]CHARITABLE CONTRIBUTION Right-hand bracket precedes the four characters that are the correct name control.
		3. SAM L]PERRY]NANCY REED & JIM FERRIS If a name follows the name containing the name control, the name containing the name control should be encased in two right-hand brackets.
15	Name Control	Display only. To correct the name control, see item 14 above, Plan Sponsor Name (Line 1).

**Exhibit 7.14.5-3 (Cont. 9) (08-02-2012)**  
**Query/Update Master Record and Status**

**Validity Checks**

ITEM	PROMPT	DESCRIPTION
16	Plan Sponsor Name (Line 2)	May be entered. If any data is entered, the first position must be alphabetic or numeric. No characters may follow two consecutive blanks except blanks. All characters may be entered. The characters that are sent to Master File are alphabetic, numeric, hyphen, slash, ampersand, percent and ("A-Z, 0-9, -, /, &, %,") blank. All other characters will be stripped before sending to Master File.
17	Form 5309	Must be blank or Y. If Form 5309 is attached enter a Y. May be entered for any Form 5300.
18	Plan Sponsor Name (Line 3)	If entered, Plan Sponsor Name (Line 2) must be entered. See Plan Sponsor Name (Line 2) description.
19	Entity Type	Must be blank or at least one of the following alpha codes: G - Government/Church not subject to ERISA. M - Multiple Employer W - Multi-Employer O - Other
20	Plan Sponsor Name (Line 4)	If entered, Plan Sponsor Name lines 2 & 3 must be entered. See Plan Sponsor Name (Line 2) description. Note: If State is ( . ), this line should contain the foreign street address. Lines 2 & 3 may be left blank. The characters sent to Master File if a foreign address are alpha, numeric, hyphen, slash, ampersand and ("A-Z, 0-9 -, /, &,") blank
21	Model Plan Type	Must be present if Form 5307. N -Not Applicable M -Master/Prototype Plan V -Volume Submitter Plan
22	DBA	Doing Business As, Also Known As (AKA), or any other name the organization is known as. This field may or may not be entered. If entered, the first position must be alphabetic or numeric. No characters may follow two consecutive blanks except blanks. All characters may be entered. The characters that are sent to Master File are alphabetic, numeric, hyphen, slash, ampersand ("A-Z, 0-9, -, /, &,") and blank.
23	In Care of	May or may not be entered. No characters may follow two consecutive blanks except blanks. All characters may be entered. The characters that are sent to Master File are alphabetic, numeric, hyphen, slash, ampersand ("A-Z, 0-9, -, /, &,") and blank.

**Exhibit 7.14.5-3 (Cont. 10) (08-02-2012)**  
**Query/Update Master Record and Status**

**Validity Checks**

ITEM	PROMPT	DESCRIPTION
24	401(K)	Section 401(K) indicator (contains Cash/Deferred Arrangement). Must be blank, Y or N.
25	Address	May or may not be entered. If entered, the first position must be alphabetic or numeric. All characters may be entered. The characters that are sent to Master File are alphabetic, numeric, hyphen slash, ampersand, percent, "(A-Z, 0-9, /, &, %,)" and blank. All other characters will be stripped before sending to Master File. Note: If this is a foreign address, enter the street address on the Plan Sponsor Name (Line 4). Enter the foreign City on this line.
26	City	Must be entered. The first position must be alphabetic or numeric. No characters may follow two consecutive blanks except blanks. All characters on the keyboard may be entered. The characters that are sent to Master File are alphabetic, numeric, hyphen "(A-Z, 0-9, -,)" and blank. All other characters will be stripped before sending to Master File. Note: If this is a FOREIGN address, enter the city on the Address line. Enter the foreign Country on this line. If this is a MILITARY address, FPO or APO must be entered on this line if State is "AA", "AE" or "AP".
27	State	Must be entered. Must be a valid state abbreviation or, for foreign addresses, a period followed by a blank (.). If this is a MILITARY address, enter the following:
		State Code    Geographic Region
		AA    No & So America AE    Europe AP    Pacific
28	Zip	Five digit Zip Code. Must be numeric. A validity check is executed on EDS to verify the state and zip code. If an invalid zip code is entered, the system message will ask you to verify the current zip code is correct.
29	Name of Plan	If Name of Plan is more than 35 characters long, go to Line 2 for a continuation; do not break a word exactly 35 characters but carry the full word or grouping to Line 2.

**Exhibit 7.14.5-3 (Cont. 11) (08-02-2012)**  
**Query/Update Master Record and Status**

**Validity Checks**

ITEM	PROMPT	DESCRIPTION
		All 35 positions do not have to be filled to continue Line 2. All characters may be entered. The first position must be alphabetic or numeric. No characters may follow two consecutive blanks, except blanks. The characters that are sent to Master File are alphabetic, numeric, hyphen, ampersand, "(A-Z, 0-9, -, &)" and blank.
30	Plan Year Ends	Must be 1-12 if Form is 5300, 5307, 5310, or 5310-A. Otherwise, must be 0 (zero).
31	Benefit Type	Must be present for all Forms except 5316 and one of the following codes: W - Cash Balance, no conversion Z - Cash Balance with conversion Q - Pension Equity Plan (PEP) A - Profit Sharing/Safe Harbor S - Stock Bonus L - ESOP K - 401(k) Plan M - Money Purchase T - Target benefit B - Defined Benefit
32	Total Part	Total Participants. If entered must be Form 5300, 5307 or 5310. Must not be entered for Form 5316. If present, must be 000000-999999.
33	Termination/Merger Effective Dt	Effective date of Merger/Consolidation/Transfer of Assets or Liabilities or the proposed date of Termination. Must be entered if Form is 5310 or 5310A.
34	Ltr Serial No: (DO)	Letter Serial Number assigned for a Prototype or Mass Submitter of a Master or Prototype Plan. Positions 2-8 must be numeric. Valid only for Forms 4461, 4461A and 4461B.
35	Ltr Serial No: (NO)	Letter Serial Number assigned for a Master or Prototype Plan. Positions 2-7 must be numeric. Valid for Form 4461B.

**Exhibit 7.14.5-3 (Cont. 12) (08-02-2012)**  
**Query/Update Master Record and Status**

**Validity Checks**

ITEM	PROMPT	DESCRIPTION
36	Vesting	Plan Vesting provision code. May or may not be entered for Forms 5300, 5307, or 5310. Must not be entered for Forms 5310A or 5316. Must be alpha A-H. Must be entered when a proposed closing code 00, 01, 02, 06, or 09 or status 40 is entered. A -Full and Immediate B -Full after 2 Years of Service C -Full after 3 Years of Service D -Full after 5 Years of Service E -6 Year Graded F -3 to 7 Year Graded G -Other
37	Reversion Amt	Possible reversion amount or if closed the amount that reverted to the plan sponsor. Must be entered if Form is 5310. Valid entry is 0- 9999999999.
38	Reason for Termination	Must be entered if Form is 5310. Must be one of the following alpha codes: A -Change in Ownership by Merger B -Liquidation or Dissolution of Employer C -Change in Ownership by Sale or Transfer D -Adverse Business Conditions E -Adoption of a New Plan F -Other
39	Plan Effec Dt	Date Plan is effective. Must be in valid date format (mmddyyyy). Must be entered when a proposed closing code 00, 01, 02, 06 or 09 or status 40 is entered and the form is NOT 5310.
40	Law Indicator	Indicates which law the application was submitted. Must be K, M, or J. Must be entered when a proposed closing code 00, 01, 02, 04, 06, or 09 or status 40 is entered.

**Exhibit 7.14.5-3 (Cont. 13) (08-02-2012)**  
**Query/Update Master Record and Status**

**Validity Checks**

ITEM	PROMPT	DESCRIPTION
		<p>K-Reliance for GUST</p> <p>M- Reliance for the first 5-year and 6-year cycles. Also used for terminations between February 1, 2006 and January 30, 2011.</p> <p>J- Reliance for the second 5-year and 6-year cycles. Also used for terminating plans with control date on or after February 1, 2011.</p> <p><b>Note:</b> GUST consists of Uruguay Round Amendments Act (GATT), Uniformed Services Employment and Reemployment Rights Act of 1994 (USERRA), Small Business Job Protection Act (SBJPA), Taxpayer Relief Act of 1997 (TRA '97), Internal Revenue Service Restructuring and Reform Act of 1998, and Community Renewal Relief Act of 2000</p>
41	MF	Must be B or Y. May only be changed by opening a Help Desk ticket.
		<p>B -Will send BOTH the application and closing record to Master File.</p> <p>Y -Will send the application or closing record to Master File if the record was an unpostable.</p>
		A "Y" may be entered if the status is 5, 6, 7, 2000-2999, 3000-3999, 4000-4999, 5000-5999, 6000-6999, 7000-7999, 8000-8999 or 9000-9999. A "Y" may also be entered if the status is 1, 3 or 13, BUT the system will display a message for verification that the entry is correct. A "B" may only be entered if the status is 3.
	MF (Status)	Display only. The code in the Master File describes the status of the EDS record and whether the application and/or closing data is waiting or has been sent to Master File (EPMF).
		0 -Application record waiting to be sent to MF.
		1 -Application record was sent to MF.
		2 -Closing record waiting to be sent to MF.
		3 -Closing record was sent to MF.
		4 -Both application and closing record waiting to be sent MF.
		10 -Not sent to MF (Forms 4461B, 5310A 9999).
		11 -Not sent to MF, entity entered from LGS.



**Exhibit 7.14.5-3 (Cont. 14) (08-02-2012)**  
**Query/Update Master Record and Status**

**Validity Checks**

ITEM	PROMPT	DESCRIPTION
		12 -Update MIR data, waiting to be sent to Detroit.
		13 -Update MIR data, sent to Detroit.
		30 -Closing record posted to MF.
		2000-2999 -Both application and closing record unposted while attempting to post to MF. Waiting for correction. (See IRM 7.13.8 for instructions).
		3000-3999 -Updated MIR data unposted while attempting to post to Detroit. Waiting for correction. (See IRM 7.13.8 for instructions).
		4000-4999 -Closing record unposted while attempting to post to MF. Waiting for correction. (See IRM 7.13.8 for instructions).
		5000-5999 -Application record unposted while attempting to post to MF. Waiting for correction. (See IRM 7.13.8 for instructions).
		6000-6999 -Updated MIR data unposted while attempting to post to Detroit. Waiting for correction. (See IRM 7.13.8 for instructions).
		7000-7999 -Both application and closing record unposted while attempting to post to Master File. Waiting for correction. (See IRM 7.13.8 for instructions).
		8000-8999 -Closing record unposted while attempting to post to Master File. Waiting for correction. (See IRM 7.13.8 for instructions).
		9000-9999 -Application record unposted while attempting to post to Master File. Waiting for correction. (See IRM 7.13.8 for instructions).
	MF (Dt)	Display only. The date each MF status above, occurred.
42	Date	Date of the current case status described below. If updating, overlay the date displayed. Must be a valid date format (mmddyyyy), no later than the current date and no earlier than the case control date.
43	Status	Case status. Consists Open Status Codes and Closed States Codes. If updating, overlays the status displayed. See Part II of Form 6476, <i>Employee Plans System Codes</i> .
		If the Closing Code needs to be updated after Case Approval Screen, use Option 5. (This Option may only be accessed by submitting a Help Desk ticket.)

**Exhibit 7.14.5-3 (Cont. 15) (08-02-2012)**  
**Query/Update Master Record and Status**

**Validity Checks**

ITEM	PROMPT	DESCRIPTION
		<p>-Must enter a proposed closing code before updating the status to 31.</p> <p>-Must enter status 31 before entering status 32, 33, 38, 54 or 56.</p> <p>-May not enter status 37 unless the current status is 32, 33, 52, 53, 55 or 50.</p> <p>-May not enter status 39 unless the current status is 50, 51, 60 or 62.</p> <p>-May only enter status 31, 39 or 50 if current status is 55 and the closing code entered previously was 06.</p> <p>-May not enter status 52 if current status is 31 or 38. Must enter status 32 or 33 to update to 52.</p> <p>-May only enter status 31, 37, 50, 52, or 53 if current status is 55 and the closing code entered previously was any closing code except 06 or 09.</p> <p>-Closing codes 06 or 09 may only be entered if the current status is 39 or 50.</p> <p>-May NOT enter proposed closing code 02 unless status 40 has been previously entered.</p> <p>-May enter status 35 only after status 40 has been entered.</p>
44	Specialist No	Five digit EDS specialist number. First two digits are valid Associate District Code. (See item 8 under validity checks for Exhibit 7.14.5-8). Must be numeric. Must be present if the status entered is 52, 58 or a proposed closing code. If updating, type over the specialist number displayed. To correct the Specialist Number after case has been approved, use option 5.
45	Hours	Number of hours spent on the case. Must be numeric. Fractions can only have one decimal position. Must be present if a proposed closing code 00, 01, 02, or 06 or status 40 is entered. Must be present for proposed closing codes 03, 04, 08 or 09 if the previous status was 52. If updating, type over the hours displayed. To correct the Hours after the case has been approved, use option 5.
46	Case Grade	First two digits must be 09, 11, 12 or 13. Must be present if a proposed closing code 00, 01, 02, 06 or 09 or status 40 is entered. If updating, type over the case grade displayed. To correct the Case Grade after the case has been approved, use option 5.
47	Last Letter Created	Display only. The letter number of the last letter created.

**Exhibit 7.14.5-3 (Cont. 16) (08-02-2012)**  
**Query/Update Master Record and Status****Validity Checks**

<b>ITEM</b>	<b>PROMPT</b>	<b>DESCRIPTION</b>
48	Reviewer No	Five digit EDS reviewer number. Must be numeric. Must be present if status entered is 32, 54 or 56 or prior to entering the case number on the Case Approval Screen. If the Reviewer Number needs to be corrected after the case has been approved, submit a Help Desk ticket.
49	Hours	Number of review hours spent on the case. Must be numeric. Fractions can only have one decimal position. Must be present if status entered is 32, 54 or 56 or prior to entering the case number on the Case Approval Screen. To correct the Reviewer Hours after the case has been approved, submit a Help Desk ticket.
50	TC013	When a case is established on EDS if the name control differs from the name control on Master File an indicator will be set to identify the mismatch. When you close a case, enter Y or N. If you enter "Y," transaction code 013 generates to update the name on Master File. If you enter "N," update the name on EDS to match the name on Master File.

**Exhibit 7.14.5-4 (08-02-2012)****Notice of Qualified Separate Line of Business**

(1) A Form 5310A with a "NQ" (Notice of QSLOB) or "NC" (Cancellation of QSLOB) filing displays this screen. Its status is automatically updated to a closed status 08 when the service center enters it into DTS.

---

EDS-ICS-644d1 UPDATE MASTER RECORD -EMPLOYEE PLAN

Document Locator No: \_\_\_\_\_ Case No: \_\_\_\_\_  
User Fee: \_\_\_\_\_ EIN: \_\_\_\_\_-\_\_\_\_\_ Plan No: \_\_\_\_\_ FFN: \_\_\_\_\_ Req Type: \_\_\_\_\_  
Form: \_\_\_\_\_ Ver: \_\_\_\_\_ Rev: \_\_\_\_\_ Assoc District: \_\_\_\_\_ Control Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

Plan Sponsor Name: \_\_\_\_\_ Name Control: \_\_\_\_\_  
\_\_\_\_\_  
Under: \_\_\_\_\_  
\_\_\_\_\_  
410(b): \_\_\_\_\_  
\_\_\_\_\_  
401(a)(26): \_\_\_\_\_

DBA: \_\_\_\_\_ 129(d)(8): \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_-\_\_\_\_\_

Test Yr of This  
Notice \_\_\_\_/\_\_\_\_/\_\_\_\_

MF: \_\_\_\_\_ Dt: \_\_\_\_/\_\_\_\_/\_\_\_\_

\*\*Date: \_\_\_\_/\_\_\_\_/\_\_\_\_ Status: \_\_\_\_\_ Specialist No: \_\_\_\_\_ Hours: \_\_\_\_\_-\_\_\_\_ Case Grade: \_\_\_\_\_

Last Letter Created: \_\_\_\_\_ Reviewer No: \_\_\_\_\_ Hours: \_\_\_\_\_-\_\_\_\_

Hit F1: Execute F5: New Search F6: Case History F10: Exit

---

**Exhibit 7.14.5-4 (Cont. 1) (08-02-2012)****Notice of Qualified Separate Line of Business**

(2) To update a record, type over the data in the field(s) according to the validity checks below. (If not updating, press F5 to bypass the validity and consistency checks and no changes will be made to the data.)

(3) Press one of the function keys described at the bottom of the screen (F1, F5, F6, or F10).

(4) When there are no input errors and you press:

- a. F1, the record updates and shows the initial query screen for the next query.
- b. F5, no changes will be made to the record and shows the initial query screen for the next query.
- c. F6, shows the Case History screen (Exhibit 7.14.5-9).
- d. F10, no changes will be made to the record and shows the ICS Menu.

(5) When there is an input error, the error message appears and the cursor is positioned on the field in error.

- a. Correct the input error.
- b. Continue at (4), above.

(6) When researching in the Query/Update Master Record Screen, press F5 to bypass updating the record and the initial query screen displays for the next query.

**Exhibit 7.14.5-4 (Cont. 2) (08-02-2012)****Notice of Qualified Separate Line of Business**

Validity Checks		
ITEM	PROMPT	DESCRIPTION
1	Case No	Display only. Case number.
2	EIN	Employer Identification Number. Must be numeric. The third digit must not contain a "9". The first two digits must be in the valid range as follows:  01-06, 11, 13-16, 21-25, 31, 34-39, 41-48, 51-59, 61-67, 71-76, 81-88, 91-99.
3	FFN	File folder number. Must be numeric. The first two digits must match the first two digits of the case number.
4	Req Type	Display only. Type of request or filing.  NQ - Notice of Qualified Separate Line of Business NC - Cancellation of QSLOB
5	Form	Display Only. Application Form Number.
6	Ver	Display only. Version Code. Should be B.
7	Rev	Display only. Revision date of the notice.
8	Assoc District	Associate District Code. Display only.  Associate District Code 11 01-06, 11, 13, 14, 16 31 31, 34-35, 38, 55, 61 36 36-37, 39, 41-43, 45-47, 81 52 22-23, 51-52, 54, 98 58 56-60, 62-65, 71, 72 75 48, 73-76, 83-87 95 33, 68, 77, 82, 88, 91-95, 99
9	Control Date	Control date entered during transcription. May be updated if the MF Status is "0" or "5" otherwise a display only field. See item 32 below for the description of MF status.

## Exhibit 7.14.5-4 (Cont. 3) (08-02-2012)

## Notice of Qualified Separate Line of Business

## Validity Checks

ITEM	PROMPT	DESCRIPTION
10	Plan Sponsor Name (Line 1)	<p>Must be entered. If the Plan Sponsor Name is more than 35 characters long, continue on to line 2. Do not break a word after 35 characters, carry the full word or grouping to line 2. All 35 positions of line 1 do not have to be filled to continue on line 2. The position must be alphabetic or numeric. No characters may follow two consecutive blanks, except blanks. All characters on the keyboard may be entered. The characters that are sent to Master File are alphabetic, numeric, hyphen, ampersand, right bracket and blank (A-Z, 0-9, -, &amp;, ], b). All other characters entered will be stripped from the line before sending to Master File.</p> <p>NAME CONTROL - The name control must be designated by a right-hand bracket(s) (]) if other than the first four characters of the name are to be used in generating the name control. To prevent an unpostable when the case is sent to the EPMF, make sure the name control is correct. The word "THE" should not be used as a name control unless only one word follows "THE".</p> <p>Note: Do not place blanks on either side of the right-hand bracket(s). You may have no more than 2 right-hand brackets. Before entering, validate that the name on the application matches the legal name shown on the plan documents.</p> <p>Examples:</p> <ol style="list-style-type: none"> <li>1. PELICAN COMPANY No brackets necessary because the first four positions are the name control.</li> <li>2. THE]PENSION PLAN Right-hand bracket precedes the four characters that are the correct name control.</li> <li>3. SARAH L]PENSION]N. SMITH &amp; JAY BIRD If a name follows the name containing the name control, the name containing the name control should be encased in two right-hand brackets.</li> </ol>
11	Name Control	<p>Display only. To correct the name control, see item above, Plan Sponsor Name (Line 1).</p>

**Exhibit 7.14.5-4 (Cont. 4) (08-02-2012)****Notice of Qualified Separate Line of Business**

<b>Validity Checks</b>		
<b>ITEM</b>	<b>PROMPT</b>	<b>DESCRIPTION</b>
12	Plan Sponsor Name (Line 2)	If any data is entered, the first position alphabetic or numeric. No characters may follow two consecutive blanks except blanks. All characters may be entered. The characters that are sent to Master File are alphabetic, numeric, hyphen, slash, ampersand, percent "(A-Z, 0-9, -, /, &, %," ) and blank. All other characters will be stripped before sending to Master File.
13	Section(s) Testing Under	Must be blank or X. At least one "X" must be entered in any of the three code sections listed (410(b), 401(a)(26) or 129(d)(8)).
14	Plan Sponsor Name (Line 3)	If entered, Plan Sponsor Name (Line 2) must be entered. See Plan Sponsor Name (Line 2) description.
15	Plan Sponsor Name (Line 4)	If entered, Plan Sponsor Name lines 2 & 3 must be entered. See Plan Sponsor Name (Line 2) description. Note: If State is ( . ), this line should contain the foreign street address. Lines 2 & 3 may then be left blank. The characters that will be sent to Master File if it is a foreign address are alpha, numeric, hyphen, slash, ampersand "(A-Z, 0-9, -, /, &," ) and blank.
16	DBA	Doing Business As, Also Known As (AKA), or any other name the organization is known as. This field may or may not be entered. If entered, the first position must be alphabetic or numeric. No characters may follow two consecutive blanks except blanks. All characters may be entered. The characters that are sent to Master File are alphabetic, numeric, hyphen, slash, ampersand "(A-Z, 0-9, -, /, &," ) and blank.
17	Address	May or may not be entered. If entered, the first position must be alphabetic or numeric. All characters may be entered. The characters that are sent to Master File are alphabetic, numeric, hyphen, slash, ampersand, percent, and blank ( "A-Z, 0-9, -, /, &, %," ). All other characters will be stripped before sending to Master File. Note: If this is a foreign address, enter the street address on the Plan Sponsor Name (Line 4). Enter the foreign City on this line.



**Exhibit 7.14.5-4 (Cont. 5) (08-02-2012)****Notice of Qualified Separate Line of Business****Validity Checks**

ITEM	PROMPT	DESCRIPTION								
18	City	<p>Must be entered. The first position must be alphabetic or numeric. No characters may follow two consecutive blanks except blanks. All characters on the keyboard may be entered. The characters that are sent to Master File are alphabetic, numeric, hyphen and blank ("A-Z, 0-9, -, "). All other characters will be stripped before sending to Master File.</p> <p>Note: If this is a FOREIGN address, enter the city on the Address line. Enter the foreign Country on this line. If this is a MILITARY address, FPO or APO must be entered on this line if State is "AA" "AE" or "AP".</p>								
19	State	<p>Must be entered. Must be a valid state abbreviation or, for foreign addresses, a period followed by a blank (.). If this is a MILITARY address, enter the following:</p> <table><tr><td>State Code</td><td>Geographic Region</td></tr><tr><td>AA</td><td>No &amp; So America</td></tr><tr><td>AE</td><td>Europe</td></tr><tr><td>AP</td><td>Pacific</td></tr></table>	State Code	Geographic Region	AA	No & So America	AE	Europe	AP	Pacific
State Code	Geographic Region									
AA	No & So America									
AE	Europe									
AP	Pacific									
20	Zip	<p>Five digit Zip Code. Must be numeric. A validity check is executed on EDS to verify the state and zip code. If an invalid zip code is entered, the system message will ask you to verify the current zip code is correct.</p>								
21	Specialist No	<p>Display only. Will always be zero for this notice.</p>								
22	Hours	<p>Display only. Will always be zero for this notice.</p>								
23	Case Grade	<p>Display only. Will always be zero for this notice.</p>								
24	Last Letter Created	<p>Display only. The acknowledgment letter number sent to the plan sponsor.</p>								
25	Reviewer No	<p>Display only. Will always be zero for this notice.</p>								
26	Hours	<p>Display only. Will always be zero for this notice.</p>								

**Exhibit 7.14.5-5 (08-02-2012)****Update Master Record - Employee Plans Merger/Spin Off/Transfer of Assets or Liabilities**

(1) When you press F2 or F4 in the Update Master Record (query) screen, this screen displays. You may update most fields as described in the validity checks below. The system evaluates all fields for validity and consistency between other fields on the screen.

**Note: Do not update a case in EDS if it is currently being worked in TEDS. This will create an EDS block.**

---

EDS-ICS-644b2      UPDATE MASTER RECORD -EMPLOYEE PLAN

Case No: \_\_\_\_\_ Plan Sponsor Name: \_\_\_\_\_

EIN: \_\_\_\_-Plan No: \_\_\_\_FFN: \_\_\_\_\_ Type Request: \_\_\_\_ Benefit Type: \_\_\_\_

MERGER/SPIN OFF/TRANSFER OF ASSETS      Effective Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

OTHER PLANS:

Name of Plan: \_\_\_\_\_

---

Employer: \_\_\_\_\_

---

EIN: \_\_\_\_-\_\_\_\_\_ Plan No: \_\_\_\_ Benefit Type: \_\_\_\_

---

Hit F1-Execute Changes, F2-Next Plan, F3-Previous Plan

F4-Previous Screen, F5-New Search, F10-Exit

---

(2) To update a record, type the data in the field(s) according to the validity checks below.

(3) Press the appropriate function key displayed at the bottom of the screen.

(4) When there are no input errors and you press:

- a. F1, the record will be UPDATED and displays the message "Update Completed."
- b. F2, this screen displays the NEXT plan involved with the merger/consolidation/transfer of assets or liabilities. When the last record is displayed, the message "No More Plans in This Direction" appears at the bottom of the screen. Press F3 to display records previously shown on the screen.
- c. F3, this screen displays the PREVIOUS plan involved with the merger/consolidation/transfer of assets or liabilities. You should've pressed F2 prior to using F3. When the first record appears, the message "No More Plans in This Direction" appears at the bottom of the screen. Press F2 to display records previously shown on the screen.
- d. F4, no changes will be made to the record and displays the previous Update Master File screen.
- e. F5, no changes will be made to the record and displays the initial query screen for the next query.
- f. F10, no changes will be made to the record and displays the ICS Main Menu.

(5) When there is an input error, the error message appears and the cursor is positioned on the field in error.

- a. Correct the input error.
- b. Continue at (3), above.

**Exhibit 7.14.5-5 (Cont. 1) (08-02-2012)****Update Master Record - Employee Plans Merger/Spin Off/Transfer of Assets or Liabilities**

		<b>Validity Checks</b>
<b>ITEM</b>	<b>PROMPT</b>	<b>DESCRIPTION</b>
1	Case No	Display only. Case Number.
2	Plan Sponsor Name	Display only.
3	EIN	Display only. Employer Identification Number.
4	Plan No	Display only. Plan Number.
5	FFN	Display only. File Folder Number.
6	Type Request	Display only. See Exhibit 7.14.5-3 for a listing of the type requests.
7	Benefit Type	Display only. See Exhibit 7.14.5-3 for a listing of the benefit types.
8	Effective Date	Display only. Effective date of the merger, consolidation or transfer of assets. May be updated in the previous screen.
9	Name of Plan	Name of the plan merged, consolidated or transferred assets with. If Name of Plan is more than 35 characters long, continue on Line 2. Do not break a word exactly 35 characters, carry the full word or grouping to Line 2. All 35 positions of Line do not have to be filled to continue Line 2. The first position must be alphabetic or numeric. No characters may follow two consecutive blanks, except blanks.
10	Name of Employer	Name of the employer the plan was merged, consolidated or transferred assets with. If Name of the employer is more than 35 characters long, continue on Line 2. Do not break a word exactly 35 characters, carry the full word or grouping to Line 2. All 35 positions of Line do not have to be filled to continue Line 2. The first position must be alphabetic or numeric. No characters may follow two consecutive blanks, except blanks.
11	EIN	Employer Identification Number of the plan merged, consolidated or transferred assets with. Must be numeric. The 3rd digit must not contain a "9". The first two digits must be in the valid range as follows:  01-06, 11, 13-16, 21-25, 31, 34-39, 41-48, 51-59, 61-64, 66, 67, 71-76, 81-88, 91-99
12	Plan No	Plan number of the plan merged, consolidated or transferred assets with. Must be numeric. Must be greater than 0.
13	Benefit Type	Type of plan merged, consolidated or transferred with. If entered, must be one of benefit types described in Exhibit 7.14.5-3.



**Exhibit 7.14.5-6 (Cont. 1) (08-02-2012)**  
**Case History Record Screen**

- a. F1 to display the first screen (start over)
- b. F2 to display the next record if there are more actions
- c. F3 to display the previous record if there were actions previously displayed
- d. F4 to display a screen of the last record to the top of the screen
- e. F6 to display the Specialist/Employee Listing for the employees listed on the screen (see page 5 of this exhibit)
- f. F10 to return to the Query/Update Master Record and Status screen

(4) The "Description of Update" item describes the section of the Update/Query Master File screen updated or program that created the history record. These descriptions, items and programs that created the history item are explained below:

- a. Case Approval - the case number was entered in the Case Approval Screen.
- b. Case Status - one of the following items was updated:
  - Date (status)
  - Status
  - Specialist No
  - Hours
  - Case Grade
- c. Closing Data - one of the following items was updated:
  - Vesting
  - Plan Effective Date
  - Law Indicator
- d. EACS Tape Load - the record was updated by the tape load from EACS.
- e. Entity Data - one of the following items was updated:
  - EIN
  - Plan Number
  - File Folder Number
  - Plan Sponsor or Organization Name
  - Dishonored Check
  - User fee Payment Status.
  - Address, City, State and Zip Code
- f. Establish Data - one of the following items entered in DTS to control the application was updated:
  - Type Request

**Exhibit 7.14.5-6 (Cont. 2) (08-02-2012)**  
**Case History Record Screen**

- Control Date
- Participants
- Entity Type
- Benefit Type
- Model Plan Type
- Reason for Termination
- Reversion Amount
- Termination Effective Date
- 5309 Indicator
- 401(k) Indicator
- Merger Effective Date
- Associate District Code

g. TEQMS - the approval program selected this case for the TEQMS review.

h. ICS Conversion - Initialized the record for the implementation of Inventory Control.

i. Incomplete App - the history record was created from DTS when the application entered on the system had missing item(s).

j. LGS Entity - the Entity was added or one of the following items updated in LGS:

- EIN
- Plan Number (EP only)
- File Folder Number
- Plan Sponsor or Organization Name
- Address, City, State and Zip Code

k. Letter Created - a letter was created from DTS (acknowledgment letters) or LGS

l. Letter Deleted - a letter was deleted from LGS.

m. Manager - manager entered an "X" in the Case Approval screen to send the case to review.

n. Manager/TEQMS - manager entered an "X" in the Case Approval screen and the system has selected the case for TEQMS.

o. Mandatory - the system identified the case for mandatory review based on criteria.

p. Mandatory/TEQMS - the system has identified the case for mandatory review and TEQMS Review.

q. MF CIs Posted - the closing record has posted in the service center. The MF Code will also display the code 30 to indicate the closing record has posted unless there has been an update after closing to any MIR data.

## **Exhibit 7.14.5-6 (Cont. 3) (08-02-2012)** **Case History Record Screen**

- r. MF Open Posted - the opening record has posted in the service center.
- s. MF Status - the MF status changed either from the Query/Update Master File screen, the Approval Screen or the nightly batch run.
- t. MF Upd Posted - the update after closing record has posted in the service center.
- u. Merger Data - one of the following items was updated:
  - Effective Date
  - Name of Plan
  - Employer Name
  - EIN
  - Plan No
  - Benefit Type
- v. Mgr/Mand/TEQMS - the system sent this case to review because the manager has entered an "X" in the Case Approval screen, the case meets the mandatory review requirements, or the case was selected for TEQMS.
- w. OLE Mismatch - a difference between the name control on Master File and the name control on EDS was found.
- x. Related Review - the case number has been entered from the Re-open to Review screen.
- y. TC013 Requested - the specialist or unpostable clerk has corrected the name control by sending a name update to Master File.
- z. UNP -(####) - the opening, closing or update after closing record unposted in the service center. The unpostable code will be displayed in place of the ####, above. The current MF Code will also display this unpostable code until the unpostable is corrected.
- aa. EDS OWNS CASE-EDS Manual Processing - a EDS block has been created and case can no longer be updated using TEDS.

**Exhibit 7.14.5-6 (Cont. 4) (08-02-2012)**  
**Case History Record Screen**

		<b>Validity Checks</b>
<b>ITEM</b>	<b>PROMPT</b>	<b>DESCRIPTION</b>
1	Case No	Display only. Case Number.
2	EIN	Display only. Employer Identification Number.
3	Plan/Form No	Display only. Plan number for an EP case.
4	Plan/Organization Name	Display only. Sponsor Name for an Employee Plan.
5	Status	Display only. The Status as of the date in item 7, below.
6	Spec/Revw	Display only. Employee number of the Specialist assigned to work the case or the Reviewer who reviewed the case.
7	Date of Status	Display only. Date of the status.
8	Date Update Entered	Display only. Date the status was entered on the system.
9	Description of Update	Display only. Description of the status update.
10	Proposed Closing	Display only. The proposed closing code entered by the specialist.
11	Hours	Display only. The hours spent on the case by the Specialist or Reviewer.
12	Created Letter	Display only. The letter created and perhaps sent to the Plan Sponsor.
13	EMP	Display only. Employee number of the specialist, reviewer, manager or group secretary who performed the update.



**Exhibit 7.14.5-6 (Cont. 5) (08-02-2012)**  
**Case History Record Screen**

(5) When you press F6 in the Case History screen, the Employee Records screen displays..

EDS-ICS-667		EMPLOYEE RECORDS		
for Case: _____				
EMP/SPEC NO	GROUP	NAME	PHONE NO	LOGIN
_____	_____	_____	____-____-____	____-____-____
_____	_____	_____	____-____-____	____-____-____
_____	_____	_____	____-____-____	____-____-____
_____	_____	_____	____-____-____	____-____-____
_____	_____	_____	____-____-____	____-____-____
_____	_____	_____	____-____-____	____-____-____
_____	_____	_____	____-____-____	____-____-____
_____	_____	_____	____-____-____	____-____-____
_____	_____	_____	____-____-____	____-____-____
_____	_____	_____	____-____-____	____-____-____

Hit Enter to Continue

(6) All items are display items only.

(7) Use the Return or Enter key to display another page of the list or to return to the Case History screen. At any time in this screen, you can press Delete to terminate the listing if it is more than one screen.

**Validity Checks**

ITEM	PROMPT	DESCRIPTION
1	EMP/SPEC NO	Display only. The employee number or specialist assigned to use EDS.
2	GROUP	Display only. Group number of the employee or specialist.
3	NAME	Display only. Name of the employee or specialist.
4	PHONE NO	Display only. Phone number of the employee or specialist.
5	LOGIN	Display only. Date of login.

## Multiple Case Assignment/Reassignment Screen

**Note:** Do not assign any TEDS case(s) using this feature. TEDS case(s) should only be assigned using TEDS, failure to do so will create an EDS block.

(2) Enter a case number(s) and an employee number on this screen. You may also enter the Case grade. All case(s) you enter on one screen must have the same grade. If the group number does not match the group number assigned to the employee in the employee Master File, a message appears on the screen. If this message appears, contact TOPS by submitting a Help Desk ticket.

(4) Press F1.

(5) If there are no input errors (i.e., UPD Failed, etc.), the screen shows the employee's current group, the Plan Sponsor Name or Organization Name, the current status, and any error messages, if appropriate.

**Exhibit 7.14.5-7 (Cont. 1) (08-02-2012)****Multiple Case Assignment/Reassignment Screen**

(6) If an input error occurs, the message displays and the cursor is positioned on the field in error.

	a. Correct the input error.
	b. Continue at (4), above.

(7) Verify that the case(s) displayed are the correct case(s) to assign. You can correct an incorrect case number by re-entering the correct case number. Press F1 to process the corrected case number with the others. Once you've verified the case(s), press F5.

(8) The screen will display again with the message(s) "ASSIGNED" or "UPD FAILED." The case(s) with the message "ASSIGNED" will be updated with status 52 to the specialist number entered on the screen. For the list of other messages, see item 7 in the validity checks.

(9) If you have more case(s) to assign, press F1 to display a blank screen and continue.

(10) If you have no more case(s) to assign, press F10 to exit.

(11) If the error message "Cannot Assign Case to This Employee" appears, ask TOPS to verify the "Function Code" in the File Maintenance System. The employee's function code cannot be 61, 62, 77, 79, 98 or 99.

(12) If the error message "UPD FAILED" appears, contact TOPS by submitting a Help Desk ticket. There is a file mismatch.

**Exhibit 7.14.5-7 (Cont. 2) (08-02-2012)****Multiple Case Assignment/Reassignment Screen****Validity Checks**

<b>ITEM</b>	<b>PROMPT</b>	<b>DESCRIPTION</b>
1	Org Code	Display Only. Displays the group the specialist is assigned to.
2	Employee Number	Specialist number. The five digit number assigned to each specialist. Must be entered and must be numeric.
3	Case Grade	If entered, must be numeric. Must be one of the following valid case grades: (09, 11, 12 or 13).
4	Case Number	Must be numeric. Enter the nine digit number assigned by DTS.
5	Employer/Organization Name	Display only. The first name line of the Employer or Organization.
6	Status	Display only. The current status of the case if it is not 50 or 51.
7	Message	Display only. The following messages will be displayed when appropriate:
		ASSIGNED CASE CLOSED CASE NOT FOUND -Case number may have been entered incorrectly. CLOSE PENDING -Case is currently in 55 status.
		DUPLICATE -Case number was duplicated on the screen. INCON UPDATE -Inconsistent update. Case is currently in a Review status. UPD FAILED - contact TOPS by submitting a Help Desk ticket. There is a mismatch file.

**Exhibit 7.14.5-8 (08-02-2012)**  
**Reprint Transmittal Sheet Screen**

(1) When you select option 5 on the ICS Main Menu (Exhibit 7.14.5-2), this screen displays. (You can also access it using option 2 on the DTS Main Menu (IRM 7.14.2)). You can print a transmittal sheet (Form 8326, *EDS EP/EO Case Transmittal*) after the case has been transcribed and attach it to the front of the case. You can request up to 20 transmittal sheets at a time. Reprint Transmittal Sheet verifies one Case Number at a time to see if it exists on EDS. The screen displays a Message when a Case Number cannot be found.

EDS-CSS-652	REPRINT TRANSMITTAL SHEET			
Enter Case Number(s):				
	_____	_____	_____	_____
	_____	_____	_____	_____
	_____	_____	_____	_____
	_____	_____	_____	_____
Hit F1:Execute F10:Exit				

(2) Enter the fields according to the validity checks below.

(3) Press F1. The case number(s) will be saved in a buffer.

(4) When there are no input errors and:

- All case number(s) are found on EDS, a blank Reprint Transmittal screen will be displayed to enter up to 20 case number(s). When you've printed all case transmittals, continue at (6), below.
- A case number is not found on EDS, the screen displays a record not found message.

(5) Verify the case number was entered correctly. If it was not, correct the case number and press F1 for EDS to consider the change.

(6) If the case number was correct, disregard the message. The system skips the case number that was not found and processes all other transmittal sheets.

(7) For case number(s) not found, the group secretary re-enters the applications in DTS.

(8) When there is an input error, the error message appears and the cursor is positioned on the field in error.

- Correct the input error.
- Continue at (3), above.

(9) After pressing F1, you'll see a blank screen with a message to press F5 to process and print the transmittal(s) requested. Continue at (3) above if you have additional case number(s) to enter. If you don't have more case number(s) to enter, press F5. The Printer Format/Selection screen (Exhibit 7.14.5-11) displays.

**Validity Checks**

ITEM	PROMPT	DESCRIPTION
1	Enter Case number(s)	Must be numeric. Must be a case number in the EDS system.

**Exhibit 7.14.5-9 (08-02-2012)****Approval of Case Closing Screen**

(1) When you select option 8 from the ICS Main Menu, this screen displays. Only the manager or group secretary may approve case(s) for closing.

At the Approval screen, cases are selected for TEQMS mandatory review. The manager may select cases that cannot be identified as mandatory case or select any case for review. The case history screen will display the approval and how the case was selected for review.

---

EDS-ICS-668a      APPROVAL OF CASE CLOSING

Case No	Employer/Organization Name	HoursGrade	Message
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Hit F1:Execute    F10:Exit

---

(2) The manager or group secretary must enter case number(s) and an "X" next to the case number if the manager wishes to send a case to review. If an "X" is entered, the status will automatically be updated to 31.

(3) Each case number must be 9 digits.

(4) Press F1.

(5) When there are no input errors, the screen will redisplay the Plan Sponsor Name or Organization Name, the hours, case grade and any error messages, if appropriate and the "F5: Approve" message.

(6) When there is an input error, the message appears and the cursor will be positioned on the field in error.

**Exhibit 7.14.5-9 (Cont. 1) (08-02-2012)****Approval of Case Closing Screen**

- a. Correct the input error.
- b. Continue at (4), above.

(7) Verify that the case(s) displayed are the correct case(s) for approval. If a case displayed is incorrect, correct the case number and press F1 for the screen to process the corrected case number with the other case number(s).

(8) Verify the hours and case grade are correct. If incorrect, delete the case number from the screen and press F1 to process the screen again without that case number. The manager must correct the hours and case grade in the Query/Update Master Record and Status screen before approving the closing.

(9) A message "F5: Approve" displays at the bottom of the screen. After verifying that all items are correct, press F5.

(10) The screen will re-display with the message(s) "Approved", "Sent to Review" or "Update Failed". The case(s) with the message "Approved" will be updated to closed. The proposed closing code will be moved to the current status. The case(s) selected for review will be updated to status 31. See Messages on the next page for a list of other messages.

(11) If you have additional case(s) to approve, press F1 to display a blank screen and continue.

(12) If there are no additional case(s) to approve, press F10 to exit.

(13) If the screen displays the error messages "Update Failed" or "KD, EC or IC Rec Missing", contact TOPS by submitting a Help Desk ticket. There is a file mismatch when any of these messages are displayed.

**Exhibit 7.14.5-9 (Cont. 2) (08-02-2012)**  
**Approval of Case Closing Screen**

ITEM	PROMPT	Validity Checks
		DESCRIPTION
1	Case Number	Must be numeric
2		Manager review selection. If entered, must be "X". See (2), above.
3	Plan Sponsor/Organization Name	Display only. The first name line of the Plan Sponsor or Organization.
4	Hours	Display only. The hours the specialist entered.
5	Grade	Display only. The grade of the case.
6	Message	Display only. The following messages may be displayed when appropriate.
		Approved
		Been Reviewed
		Cannot Approve, Not 60 Days Old (EP Only)
		Case Has Already Been Approved
		Case Not Found-Case number may have been entered incorrectly
		Case Not Ready for Closing
		Duplicate-Case number was duplicated on the screen.
		EM Rec Missing-Employee record is missing from the employer Master File.
		LGS Record, Cannot Approve
		Must Update EIN Prior to Approval
		Must Update Specialist No-Specialist number is a dummy specialist number, update it to who worked the case.
		N/A for Review-Correction disposals should not go to review.
		Not Ready to Close, Case Unpostable
		Not Ready to Close, Take to Review
		Reviewer Hours not Present
		Review No not Present
		Sent for EQMS
		Sent to Review



**Exhibit 7.14.5-10 (08-02-2012)****Print Closing Screen**

(1) When you select option 7 from the ICS Main Menu (Exhibit 7.14.5-2) or the Query/Update Master query screen (Exhibit 7.14.5-3), this screen displays. You can request up to 20 closing sheets at a time. Print Closing Sheet verifies each Case Number at a time to see if it exists on EDS. The screen displays Messages when a Case Number cannot be found.

---

EDS-ICS-653      PRINT CLOSING SHEET

Enter Case Number(s):

_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

---

Hit F1:Execute    F10:Exit

---

(2) Enter the fields according to the validity checks below.

(3) Press F1.

(4) When there are no input errors:

- a. Case number(s) found on EDS, the screen displays a blank Print Closing screen to enter additional case number(s). Enter up to 20 more case number(s) and continue at (3), above. If you've entered all case number(s), continue at (6), below.
- b. Case number(s) not found, the message "record not found" displays..
  - Verify you correctly entered the case number. If it was not correctly entered, correct it and press F1 to execute the change.
  - If the case number is correct, disregard the message. The system skips the case number found and processes all other closing sheets.
  - For case number(s) not found, the group secretary re-enters the applications in DTS.

(5) When there is an input error, the error message appears and the cursor is positioned on the field in error.

- a. Correct the input error.
- b. Continue at (3), above.

(6) After pressing F1, you'll see a blank screen with a message to press F5 to process and print the closing sheets. If you have more case number(s) to process, enter them and continue at (3), above. If you don't have more case number(s) to process, press F5. The Printer Format/Selection screen (Exhibit 7.14.5-11) will display and then the Form 8671, *Employee Plan Case Closing Sheet* is printed. See Exhibit 7.14.5-14, *EDS - Employee Plan Case Closing Sheet*.

**Exhibit 7.14.5-10 (Cont. 1) (08-02-2012)****Print Closing Screen**

ITEM	PROMPT	Validity Checks
		DESCRIPTION
1	Enter Case number(s)	Must be numeric. Must be a case number in the EDS database.

**Exhibit 7.14.5-11 (08-02-2012)****Print Format/Selection Screen**

(1) The following screen automatically displays after you select option 5 - Reprint Transmittal Sheets, Option 6 - Print Labels or Option 7 - Print Closing Forms on the ICS Main Menu or Option 6 - Print Case History or Option 7 - Print Closing Forms on the Initial Query Screen of the Update Master Record screen.

EDS-FMS-20      Print Format/Selection

- \* Print Mode      -
- \* Device Number -
- \* Number of Copies -

(2) Enter the fields according to the validity checks below.

(3) Press F1.

(4) When there are no input errors, the ICS Main Menu (Exhibit 7.14.5-2) displays.

(5) When there is an input error, the error message appears and the cursor is positioned on the field in error.

- a. Correct the input error.
- b. Continue at (3), above.

(6) Once in this screen, you can't use F10.

**Validity Checks**

ITEM	PROMPT	DESCRIPTION
1	Print Mode	Must be entered. Valid entries are T, S, and 1-9. T - Text printer S - Slave printer 1-9 - Local print routines (District will provide instructions for the use of options 1-9)
2	Device Number	Must be entered if Print Mode is T. Must be numeric.
3	Number of Copies	May or may not be entered. If not entered, one copy will be printed. Must be numeric.

Exhibit 7.14.5-12 (08-02-2012)  
Multiple Status 51/58/60/75 Updates Screen

(1) When you select option 10 from the ICS Main Menu, this screen displays. This option allows any EDS user to update a case to status 51, 58, 60, or 75. The case’s Action History will show the person’s login who updated each case.

**Note:** Do not update a case in EDS if it is currently being worked in TEDS. This will create an EDS block.

EDS-ICS-664a      Mass Case Status Update  
Case Status: \_\_\_\_\_ Specialist No/DOL: \_\_\_\_\_ Case Grade: \_\_\_\_\_  
(valid status codes are 51 58 60 61 64 71 72 73 74 75)

Case Number	TEDS Case Number	Employer/Organization Name	Status	Message
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

Hit F1:Execute    F10:Exit

- (2) The previous status must be 50, 58, 39, or 55 and the proposed closing 06. Form 5310-A may not be updated to status 51.
- (3) You must enter case number(s) in this screen. You may enter the case grade if all the case(s) have the same grade.
- (4) Enter these fields according to the validity checks below.
- (5) Press F1.
- (6) When there are no input errors, the screen displays the Plan Sponsor Name or Organization Name, the current status if it is any status other than 50, and any error messages, if appropriate.

**Exhibit 7.14.5-12 (Cont. 1) (08-02-2012)**  
**Multiple Status 51/58/60/75 Updates Screen**

(7) When there is an input error, the message appears and the cursor is positioned on the field in error.

- a. Correct the input error.
- b. Continue at (4), above.

(8) Verify that the case(s) displayed are the correct case(s) to be updated. If a case is listed that is not the correct case, you can correct it by entering the correct case number, then press F1 to process the corrected case number with the others. Once you verify the case(s), press F5.

(9) The screen will be displayed again with the message(s) "UPDATED" or "UPD FAILED". The case(s) with the message "UPDATED" will be updated to status 51 or status 58. See the next page for a list of other Messages.

(10) If you have more case(s) to update, press F1 to display a blank screen and continue.

(11) If you finished case assignment, press F10 to exit.

(12) If any of these messages are displayed, contact TOPS by submitting a Help Desk ticket to correct the error. The case has a file mismatch.

- a. KD Rec Missing-See Your Coordinator
- b. EC Rec Missing-See Your Coordinator
- c. IC Rec Missing-See Your Coordinator
- d. ERROR: Could Not Create AH Record

**Validity Checks**

ITEM	PROMPT	DESCRIPTION
1	Case Grade	If entered, must be numeric. Must be a valid case grade:  EP-09, 11, 12 or 13
2	Case Number	Must be numeric. Enter the nine digit number assigned by DTS.
3	Plan Sponsor/Organization Name	Display only. The first name line of the Plan Sponsor or Organization.
4	Status	Display only. The current status of the case if it is not 50.
5	Message	Display only. The following messages are displayed when appropriate.  CASE CLOSED CASE NOT FOUND-Case number may have been entered incorrectly. DUPLICATE INCON UPDATE-status is not 50, 39, 58 or 55 and proposed closing 06 INVALID UPDATE UPD FAILED

**Exhibit 7.14.5-13 (08-02-2012)****Re-open To Review Screen**

(1) When you select option 11 from the ICS Main Menu, this screen displays. This screen allows the manager or group secretary to re-open a case(s) closed in error. The manager or group secretary can only re-open on the same day the case was closed. If they attempt to re-open a case after that date, they must open a help desk ticket to re-open it.

Most case(s) closed in error will be:

- Case(s) that Approval Screen did not identify as mandatory review and the manager did not enter the "X" to send those case(s) to review.
- Multiple employer case(s) sent to review but their related cases were not sent.

---

EDS-ICS-665a Status 31 Update -Re-open case(s) Closed In Error To Review

Case Number	Employer/Organization Name	Status	Message
_____	_____	___	_____
_____	_____	___	_____
_____	_____	___	_____
_____	_____	___	_____
_____	_____	___	_____
_____	_____	___	_____
_____	_____	___	_____
_____	_____	___	_____
_____	_____	___	_____
_____	_____	___	_____
_____	_____	___	_____
_____	_____	___	_____
_____	_____	___	_____
_____	_____	___	_____
_____	_____	___	_____

Hit F1:Execute F10:Exit

(2) The screen requires the entry of case number(s).

(3) Each case number must be 9 digits.

(4) Press F1.

(5) When there are no input errors, the screen displays the Plan Sponsor Name or Organization Name and current status.

(6) When there is an input error, the message appears and the cursor is positioned on the field in error.

- a. Correct the input error.
- b. Continue at (4), above.

(7) Verify that the case(s) displayed are the correct case(s) you want to re-open. If a case displayed is incorrect, correct the case number and press F1 so the screen processes the corrected case number with the other case number(s). Case(s) CAN ONLY BE RE-OPENED THE SAME DAY THEY ARE CLOSED. If the case has been closed prior to the current date, submit a help desk ticket to re-open it.

**Exhibit 7.14.5-13 (Cont. 1) (08-02-2012)**  
**Re-open To Review Screen**

- (8) A message “F5: Approve” displays at the bottom of the screen. If you’ve verified all case(s), press F5.
- (9) The screen displays one of the messages listed in item 4 of the validity check. Any cases sent to review are updated to status 31.
- (10) If there are additional case(s) to re-open, press F1 to display a blank screen and continue.
- (11) If there are no additional case(s) to approve, press F10 to exit.
- (12) If the error messages “Update Failed” or “KD, EC or IC Rec Missing” displays, contact TOPS by submitting a Help Desk ticket. There is a file mismatch when any of these messages are displayed.

**Validity Checks**

ITEM	PROMPT	DESCRIPTION
1	Case Number	Must be numeric.
2	Plan Sponsor/Organization Name	Display only. The first name line of the Plan Sponsor.
3	Status	Display only. The current status.
4	Message	Display only. The following messages are displayed when appropriate:  Case Closed - Closed date is not equal to today. Re-establish if necessary. Case Open Duplicate - Case number listed more than once on the screen. Sent to Review

**Exhibit 7.14.5-14 (08-02-2012)****EDS - Employee Plan Case Closing Sheet**

(1) Print the EP Case Closing Sheet from option 7 of the ICS Main Menu. See Exhibit 7.14.5-10, *Print Closing Screen*. This form is printed for every case closed off EDS. The manager approves the closing by initialing in the space at the bottom of the form.

---

**EDS -EMPLOYEE PLAN CASE CLOSING SHEET**

TEDS Case: EP-2012000-000000

Case Number: 520000000EP

EDS Screener's ID: 31000

EIN: 52-1000000 FFN: 520000010 Control Date: 10071998 Case Grade: 12

Name Control: ANYP

Entity Type: O

Sponsor Name: ANY PENSION PLAN CORPORATION Form No/Ind: 5300

Type Request: AL

In Care Of:

Address: 1111 ANY STREET

Plan Type: F

ANY CITY, PA 19104

Participants: 000025

Plan Name: ANY PENSION PLAN CORPORATION Plan No: 001

DEFINED BENEFIT PLAN

Plan Year Ends: 10

DBA:

Effective Date of Plan: 08011998 Vesting: G Law Indicator: D

Items (paragraph codes) that were considered before closing:  
404DATE: 12121998 CLOSING CODE: 01 SPECIALIST: 00001 HOURS: 001.0 CLOSING LTR: 835  
REVIEWER: 00005 HOURS 000.1

CLOSING CAVEATS: \_\_\_\_\_

COMMENTS:

Manager Initials: \_\_\_\_\_

Form 8671

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(2) Additional lines will print on Form 8671 for the following application types:

- a. Form 5307:  
Model Plan Type: \_\_\_\_
- b. Form 5310:  
Possible Reversion Amt: \_\_\_\_\_  
Reason for Termination: \_\_\_\_  
Termination Effective Dt: \_\_\_\_\_



**Exhibit 7.14.5-14 (Cont. 1) (08-02-2012)**  
**EDS - Employee Plan Case Closing Sheet**

- c. The Form 5310A will print one of the following depending on Type of Request:

Merger Effective Dt: \_\_\_\_\_

Consolidation Effective Dt: \_\_\_\_\_

Spin Off Effective Dt: \_\_\_\_\_

Transfer of Asset Effective Dt: \_\_\_\_\_

(3) After printing this form, if there are any items that are incorrect, correct them and reprint the closing form.

**Exhibit 7.14.5-14 (Cont. 2) (08-02-2012)**  
**EDS - Employee Plan Case Closing Sheet**

**EP CLOSING SHEET**

<b>LABEL</b>	<b>DESCRIPTION</b>
TEDS Number	Inventory Control Number generated by TEDS.
Case Number	Inventory Control Number generated by EDS. This number may be used in LGS to generate development and closing letters. It may also be used to update status and close the case to EPMF.
EDS Screener's ID	Login ID of individual who screened and entered the application.
EIN	Employer Identification Number.
FFN	File Folder Number assigned by EDS.
Control Date	Postmark on envelope. The date cycle time starts in computing the average days to process.
Case Grade	Grade assigned to the case.
Name Control	Generated in DTS. Used to match with OLE records to reduce unpostables at EPMF.
Entity Type	See Exhibit 7.14.5-3 for list of Entity Types.
Sponsor Name	Four name lines submitted on the application.
Form No/Ind	Form number of application submitted and the Form Version or if a Form 5309 was submitted or if the plan has 401(k) provisions. See Exhibit 7.14.5-3, items Ver., Form 5309 or 401(k).
Type Request	Type of request, such as an initial submission or amendment. See Exhibit 7.14.5-3 for list of requests.
Plan Type	Benefit Type, such as, profit sharing, etc. See Exhibit 7.14.5-3 for list of plan types.
Participants	Number of participants in the plan submitted on the applications.
Address	Street Address, City, State and Zip Code of the applicant.
Plan Name	Name of the Plan submitted.
Plan No	Number assigned to the plan.
Plan Year Ends	The accounting month when the plan ends.
DBA	Doing Business As, alias or Also Known As.
Effective Date of Plan	Date Plan was effective. Entered at closing.
Vesting	Vesting Code. Entered at closing. See Exhibit 7.14.5-3 for a list of the vesting codes.
Law Indicator	The Law under which the plan was submitted. Entered at closing. See Exhibit 7.14.5-3 for a list of the law indicators.
Model Plan Type	Type of Plan, such as, Regional Prototype. See Exhibit 7.14.5-3 for a list of Model Plan Types.

**Exhibit 7.14.5-14 (Cont. 3) (08-02-2012)**  
**EDS - Employee Plan Case Closing Sheet**

<b>EP CLOSING SHEET</b>	
<b>LABEL</b>	<b>DESCRIPTION</b>
Letter Serial No	Number assigned by the D.O. when a Lead Plan for the Volume Submitter or Regional Prototype is submitted.
Letter Serial No (DO):	Number assigned by the D.O. to a request by a mass submitter for a pre-approved plan by Headquarters.
(NO):	Number assigned by N.O. when a Master or Prototype plan is submitted.
Possible Reversion Amt	Reversion amount reported on the Form 5310 application submitted.
Reason for Termination	Reason plan has terminated. See Exhibit 7.14.5-3or a list of reasons.
Termination Effective Dt	Date the plan will terminate.
Merger Effective Dt	Date the merger will take place.
Consolidation Effective Dt	Date the Consolidation will take place.
Spin Off Effective Dt	Date the Spin Off will take place.
Transfer of Asset Effective Dt	Date Transfer of Asset will take place.
DATE	Date of Closing Code
CLOSING CODE	Code case was closed under. See Exhibit 7.14.5-3.
SPECIALIST	Specialist number of person that worked the case.
HOURS	Time spent on the case.
REVIEWER	Reviewer number of person reviewed the case for closing.
HOURS	Reviewer time spent on the case.
CLOSING LTR	Number of the letter sent to the plan sponsor when case closed.
CLOSING CAVEATS	The paragraph number(s) of the caveat(s) added to the closing letter. The paragraph number(s) only print for Letters 835 (DO/CG), Letter 1132 (DO/CG), and Letter 2002 (DO/CG).
COMMENTS	Space to write comments.
Manager Initials	Space for the manager to initial their approval of the closing.

Exhibit 7.14.5-15 (08-02-2012)

Multiple Merit Closure Assignment Screen

(1) When you select option 12 from the ICS Main Menu, this screen displays. This screen allows users to assign multiple merit case(s) at one time on EDS and is used when assigning multiple case(s) with the same grade.

**Note:** Do not update a case in EDS if it is currently being worked in TEDS. This will create an EDS block.

EDS-ICS-663m      Merit Case Assignment/Reassignment

Org.Code:      Employee Number:      Case Grade:

Case Number	Employer/Organization Name	Status	Message

Hit F1:Execute    F10:Exit

- (2) The screen requires the entry of case number(s). You may enter the case grade if all the case(s) have the same grade.
- (3) Enter these fields according to the validity checks below.
- (4) Press F1.
- (6) When there are no input errors, the screen displays the Plan Sponsor Name or Organization Name, the current status if it is any status other than 50 and any error messages, if appropriate.
- (7) When there is an input error, the message appears and the cursor is positioned on the field in error.

**Exhibit 7.14.5-15 (Cont. 1) (08-02-2012)**  
**Multiple Merit Closure Assignment Screen**

- a. Correct the input error.
- b. Continue at (3), above.

(8) Verify that the case(s) displayed are the correct case(s) you are updating. If a case is listed that is not the correct case, you can correct the case number by entering the correct case number, then press F1 so the corrected case number will be processed with the others. Once you verify the case(s), press F5.

(9) The screen will be displayed again with the message(s) "UPDATED" or "UPD FAILED". The case(s) with the message "UPDATED" will be updated. See the next page for a list of other Messages.

(10) If you have more case(s) to update, press F1 to display a blank screen and continue.

(11) If you are finished with case assignment, press F10 to exit.

(12) If any of the messages below are displayed, contact TOPS by submitting a Help Desk ticket to correct the error. The case has a file mismatch.

- a. KD Rec Missing-See Your Coordinator
- b. EC Rec Missing-See Your Coordinator
- c. IC Rec Missing-See Your Coordinator
- d. ERROR: Could Not Create AH Record

**Validity Checks**

ITEM	PROMPT	DESCRIPTION
1	Case Grade	If entered, must be numeric. Must be a valid case grade:
		EP-09, 11, 12 or 13
2	Case Number	Must be numeric. Enter the nine digit number assigned by DTS.
3	Plan Sponsor/Organization Name	Display only. The first name line of the Plan Sponsor or Organization.
4	Status	Display only. The current status of the case if it is not 50.
5	Message	Display only. The following messages are displayed when appropriate.
		CASE CLOSED CASE NOT FOUND-Case number may have been entered incorrectly. DUPLICATE INCON UPDATE INVALID UPDATE UPD FAILED

