



MANUAL TRANSMITTAL

Department of the Treasury
Internal Revenue Service

7.15.1

MARCH 15, 2022

EFFECTIVE DATE

(03-15-2022)

PURPOSE

- (1) This transmits revised IRM 7.15.1, Employee Plans TEDS User Manual, Employee Plans User Manual Introduction.

MATERIAL CHANGES

- (1) Updated IRM 7.15.1.4 (3) to replace OL5081 system with BEARS system.
- (2) Updated IRM 7.15.1.8 (3) to replace EDS with Forms/Pubs/Products Repository.
- (3) Updated for editorial changes.

EFFECT ON OTHER DOCUMENTS

This supersedes IRM 7.15.1, dated November 1, 2021.

AUDIENCE

Tax Exempt and Government Entities
Employee Plans

Eric D. Slack
Director, Employee Plans
Tax Exempt and Government Entities

7.15.1

Employee Plans User Manual Introduction

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7.15.1.1
(11-01-2021)
Program, Scope and Objectives

- (1) **Purpose:** This IRM is an introduction to the IRM 7.15 series IRMs- Employee Plans TEDS User Manual. The Tax Exempt Determination System (TEDS) is a web-based information system used by Tax Exempt and Government Entities (TE/GE) Determination programs. TEDS is an electronic case and inventory management system.
- (2) **Audience:** The determination application processing procedures in this manual are for employees in Employee Plans (EP) who work in TEDS.
- (3) **Policy Owner:** Director, EP.
- (4) **Program Owner:** EP.
- (5) **Program Goal:** The Goal of TEDS is to provide:
 - a. Real time access to inventory data.
 - b. Reduced cycle time through electronic transfer of case files and online review.
 - c. Increased uniformity and consistency in case processing.
 - d. Interfacing with Letter and Information Network User-fee System (LINUS).
 - e. Interfacing with legacy systems, Employee Plans-Exempt Organizations Determination System (EDS), to establish and update master file entities and account information.

7.15.1.1.1
(11-01-2021)
Background

- (1) The Tax Exempt Determination System (TEDS) is the primary system Employee Plans (EP) uses to process Determination Letter (DL) applications. Generally, EP will establish and work DL applications in TEDS but create the final DL in the EP/EO Determination System (EDS).
- (2) TEDS stores in an electronic Records Repository:
 - a. Images of original determination applications and associated data.
 - b. Subsequent related documentation.

7.15.1.1.2
(11-01-2021)
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) Find a complete list of delegation orders governing EP Rulings and Agreements at <http://www.irs.gov/uac/Delegation-Orders-by-Process1>.

7.15.1.1.3
(11-01-2021)
Acronyms

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

Acronym	Definition
BEARS	Business Entitlement Access Request System
BRE	Business Rules Engine
CRX	Correspondence Letter System

Acronym	Definition
CSPC	Cincinnati Service Processing Center
DL	Determination Letter
DLN	Document Locator Number
EDS	Employee Plans-Exempt Organizations Determination System
EP	Employee Plans
IT	Information Technology
LINUS	Letter and Information Network User-fee System
NUI	National Unassigned Inventory
NAI	National Assigned Inventory
OCR	Optical Character Recognition
PWN	Password Management
TE/GE	Tax Exempt and Government Entities
TEDS	Tax Exempt Determination System
TOPS	TE/GE Operational Program Support

7.15.1.2
(09-15-2015)
Windows Based

- (1) TEDS is user friendly and requires basic computer skills such as:

- Locating data files.
- Using tool bars.
- Printing files.
- Maintaining files.

7.15.1.3
(09-15-2015)
System Support

- (1) The TE/GE Business Systems Planning (BSP) function manages TEDS.
- (2) TE/GE Business Customer Support (also known as TE/GE Operational Program Support (TOPS)) provides functional support and informational bulletins to TEDS users.

7.15.1.4
(03-15-2022)
User Community

- (1) TEDS allows users to electronically access case files. Not all TEDS users have case access abilities.
- (2) TEDS users include:
- a. Determination Specialists (including Screeners and Quality Assurance Reviewers).
 - b. Group Secretaries/Clerks.

- c. Processing Clerks.
- d. Unpostable Clerks.
- e. User Fee Adjusters.
- f. Group Managers.
- g. Area Managers.
- h. National Unassigned Inventory (NUI) Managers.
- i. TE/GE Business Customer Support (also known as TOPS).
- j. Functional Security Managers.
- k. Records Managers.
- l. Researchers I.
- m. Researchers II.
- n. Researchers III.

- (3) Users gain initial access to TEDS through the BEARS process. TEDS users with locked accounts can reset through OS GetServices.
 - a. Once the user is approved, he/she will receive an email from BEARS.
 - b. Included in the email is a link to the TEDS home page and instructions to set up a desktop shortcut.

7.15.1.5
(09-15-2015)
Logon

- (1) To logon to TEDS the user must click "login". See Exhibit 7.15.1-1, TEDS Initial Login Screen.
- (2) Each TEDS user is assigned only one user login.
- (3) TEDS:
 - a. Limits the number of login attempts to three before disabling the user's password.
 - b. Identifies and authenticates all users accessing any of TEDS application components.

7.15.1.6
(09-15-2015)
Password

- (1) The TEDS password is aligned with the users' Windows/LAN account password.

Reminder: When a user changes his/her Windows password, the TEDS password is automatically updated.
- (2) If a users' TEDS account is locked the Windows account is also locked. Use Password Management (PWM) a self-service tool to unlock your own workstation. Instructions for PWM setup and use are on the Information Technology (IT) website: <http://eues.web.irs.gov/ESD/PWM.aspx>.

7.15.1.7
(09-15-2015)
TEDS Business Rules

- (1) TEDS uses the Business Rules Engine (BRE), a managerial software program, which automates operational business decisions.
- (2) TEDS uses BRE to program information from the application package into an electronic format.
- (3) The BRE allows the IRS to improve writing, viewing, managing, or changing TEDS business processes as needed.
- (4) The BRE covers a case's complete cycle within TE/GE EP Determinations.
- (5) TEDS business rules:

- a. Streamline administrative duties.
- b. Improve the determination process.
- c. Facilitate accurate and consistent EP Determinations business policy across the country.

7.15.1.7.1
(09-15-2015)

**Converting Information
into Electronic Format**

- (1) Data transcribed from the following returns develops TEDS business rules results:
 - a. Form 5300, Application for Determination for Employee Benefit Plan.
 - b. Form 5307, Application for Determination for Adopters of Volume Submitter Plans.
 - c. Form 5316, Application for Group or Pooled Trust Ruling.
 - d. Form 5310, Application for Determination Upon Termination.
 - e. Form 5310A, Notice of Plan Merger or Consolidation, Spinoff, or Transfer of Plan Assets or Liabilities; Notice of Qualified Separate Lines of Business.
 - f. Form 8717, User Fee for Employee Plan Determination Letter Request.
- (2) The data establishes summary information about the case such as:
 - Case grade.
 - Preliminary user fee validation.
 - Open case status.

7.15.1.7.2
(09-15-2015)

**How Business Rules
Work**

- (1) There are two categories of business rules:
 - Opening business rules. See IRM 7.15.1.7.4, Opening Business Rules.
 - Closing business rules. See IRM 7.15.1.7.5, Closing Business Rules.
- (2) Cincinnati Service Processing Center (CSPC) prepares the hardcopy file for scanning.
- (3) Business rules transcribe data from various fields of the Form 5307, 5300 or 5310 either:
 - Manually.
 - Automatically, using optical character recognition (OCR).
- (4) TEDS translates the data into “if – then” statements which are uploaded into the BRE.
- (5) After CSPC scans an application package and a case number is assigned, business rules run based on the following factors:
 - a. Case classification.
 - b. Case complexity.
 - c. Case completeness.
 - d. Case category.
 - e. Case grade.
 - f. Cycle business rules.
 - g. Disclosability.
 - h. User fee validation business rules.

7.15.1.7.3
(09-15-2015)

Business Rules Results

- (1) Some business rules results record case data, found in the “Case Information” file on the “General Case Information” and “Receipt and Handling” tabs.
- (2) Other business rules results are stored within the BRE Results folder.
- (3) Business rules:
 - a. Identify issues that may need development in the determination process.
 - b. Determine why a case was classified in a particular way.
 - c. Identify why a case is unable to close to the manager for review.
- (4) View business rules results by opening the BRE folder. Possible contents:
 - Summary Messages.
 - BRE Response.
 - Closing Rule Results.

7.15.1.7.4
(09-15-2015)

Opening Business Rules

- (1) The disclosability business rules determine whether the case is:
 - Disclosable (greater than 25 participants).
 - Non-disclosable (less than or equal to 25 participants).
- (2) Case classification business rules consider the following:
 - Outcome of case complexity.
 - Case completeness.
 - User fee opening business rules.
- (3) Case completeness business rules determine if the application package is complete. The application package must include a plan document.
- (4) Case category business rules determine the case type:
 - Initial application/submission.
 - Amended plan.
 - Affiliated Service Group.
- (5) Case grading business rules determine the grade.

7.15.1.7.5
(09-15-2015)

Closing Business Rules

- (1) Closing business rules automatically run when one of the following occurs:
 - a. A specialist attempts to update a case to the manager in status 74PC for proposed closure.
 - b. The case is updated to status 21 for closure on EDS.

See IRM 7.15.1.10, TEDS Status Codes and IRM 7.15.7, Electronic Case Processing.
- (2) After a case updates to status 74PC, the closing business rules run. This may prevent the case from rolling to status 74PC.

7.15.1.7.6
(09-15-2015)

Editing Business Rules

- (1) Opening business rules can't be modified. See IRM 7.15.1.7.4, Opening Business Rules.
- (2) Closing business rules can be modified. See IRM 7.15.1.7.5, Closing Business Rules and IRM 7.15.7.6.4.1, Confirming the Status Change.

7.15.1.8
(03-15-2022)

Case Establishment

- (1) The CSPC performs the determination letter request case establishment following procedures described in IRM 3.45.1, Processing Employee Plan and Exempt Organization Determination Applications and User Fees.
 - a. Receipt and Handling, a part of the Processing Division, performs the initial stages of the Determination processing.
 - b. After CSPC scans the application, they ship the hard copy file to Files in Florence, KY.
- (2) LINUS is the system of record for all user fee payments, refunds, and adjustments. From LINUS a case is assigned a Document Locator Number (DLN). The DLN is used to control, identify and locate a case. All application packages processed at CSPC are stamped with either a **remit** DLN or **non-remit** DLN, as appropriate. For further explanation see IRM 3.45.1.8.1, *Document Locator Number (DLN)*.
- (3) The final determination letter and closing documents are prepared in the Forms/Pubs/Products Repository. See IRM 7.15.7, Electronic Case Processing.
- (4) All closing information is processed to the Master File. See IRM 3.45.1.
- (5) CSPC inserts separator sheets between various document types.
- (6) TEDS captures and stores electronic images in Tagged Image File Format (TIFF).
 - a. Both sides of each sheet of paper are scanned.
 - b. Blank pages are deleted after scanning.
 - c. Envelopes are never scanned.
 - d. Non-scannable items are notated on an input sheet which is scanned into TEDS.
- (7) CSPC:
 - a. Manually transcribes data fields from the application packages and related forms (e.g., Form 2848, Form 8717, etc.). OCR is used to automatically transcribe data fields from Forms 5307, 5300 and 5310.
 - b. After scanning verifies images and data as readable and correct.
 - c. Re-scans application packages with unreadable images.
 - d. Reassembles all documents and places them in a case file. The file has a printed label attached to the outside.
 - e. Ships the paper copies of application packages to the Cincinnati Processing Unit. See IRM 7.11.1, *Employee Plans Determination Letter Program*.

Control Date: 03/01/2006	Case Grade: 12
Name: XYZ Co.	Form # 5307
Case #: XX1234567	Type of Request: I
EIN: XX-3456789	Plan #: 002
Case Classification: Merit	
Potential Dup. #: XX8910111213	
	BBTS #: 6090

Control Date: 03/01/2006	Case Grade: 12
DLN: XX12345678901234	Non-Scan Item: N

7.15.1.9
(09-15-2015)
**TEDS Determination
Process**

- (1) EP Determination processes changed significantly with TEDS.
- (2) The new processes include:
 - a. Creating a unique TEDS case number. The TEDS and EDS case numbers both populate to EDS.
 - b. Automatic and manual case data transmission from TEDS to LINUS and EDS (status updates).
 - c. Automatic closure to the TEDS Records Repository for Forms 5310-A.
 - d. Case history record updates to show new information such as case assignments, status updates, transition to manual case processing, etc.
 - e. Electronic storage of case images and data in the TEDS Records Repository.
- (3) TEDS creates a case chronology record for each case. TEDS automatically updates the case chronology for some entries such as case assignment. Specialists make case chronology entries to cases in his/her assigned inventory and can view all the entries. Other users can only view the entries they make.
- (4) TEDS transmits case data to Correspondence Letter System (CORRESPONDEX, CRX). Using this information CRX generates the acknowledgement notice.

7.15.1.10
(09-15-2015)
TEDS Status Codes

- (1) Status codes in TEDS are treated the same way as status codes in EDS.
- (2) An application is assigned status code 63 immediately upon establishment on TEDS. Once the case is in status 63 the opening business rules determine whether the case updates to status 51, 61 or 21AC for the 5310A applications.
- (3) Every application that is in the National Unassigned Inventory (NUI) or the National Assigned Inventory (NAI) has the potential to update to any status code, but must follow a specific status flow.
- (4) Opening business rules automatically:
 - a. Determine and update the status codes to the NUI status code 51 or 61.
 - b. Update the status code 21AC for the 5310A and places the case(s) in the Archived inventory.
- (5) See Exhibit 7.15.1-2, *Status Code Process Steps Table* for a comprehensive list of status code process steps.

7.15.1.11
(09-15-2015)
TEDS Sub-Status Codes

- (1) TEDS may assign a sub-status code to a status code. A sub-status code provides information on the current state of a case and may impact future case actions.
- (2) Sub-status codes appear as part of the listed status of the case. Sub-status codes are reflected in TEDS but not in EDS.

Example: If IRS receives additional documents for an assigned non-merit case the case status in TEDS is 52AD.

(3) Sub-status Codes are listed in the table below.

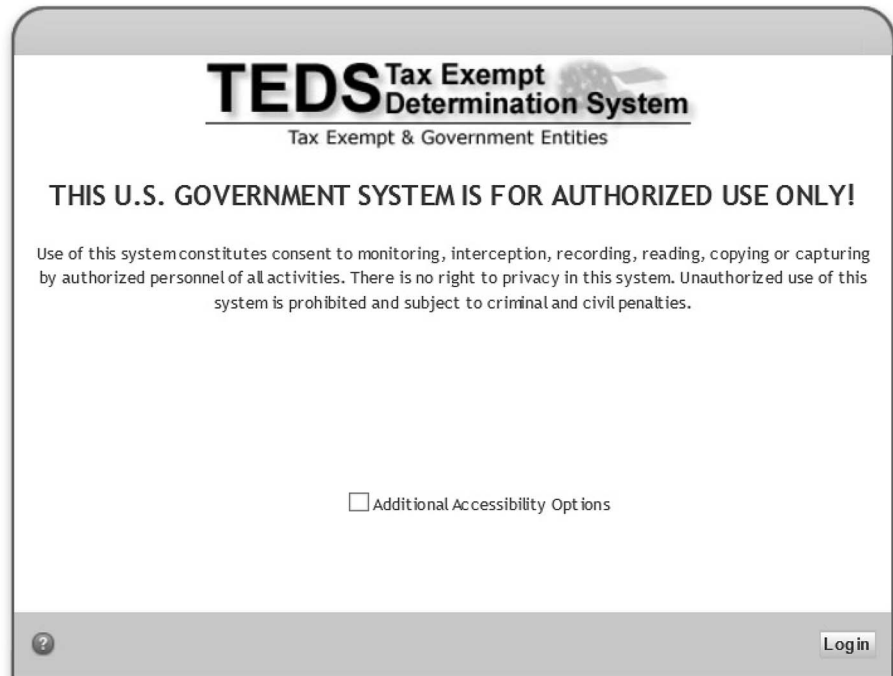
Sub-status Code	Sub-status Code Name	Description
AC	Auto Closure	<ul style="list-style-type: none"> Automatic closed case. Use with status 21 and 71. Is an automatic update.
AD	Additional Document	<ul style="list-style-type: none"> Additional documents were scanned in and associated with an open or closed case. Is an automatic update.
AI	Awaiting Information	<ul style="list-style-type: none"> Use when the TEDS user sends a request for additional information and is awaiting a response from the applicant. The TEDS user must manually check the awaiting information indicator in the case chronology entry to trigger the sub-status update. Is a manual update.
AR	Administrative Re-Opening	<ul style="list-style-type: none"> Administrative Re-opening. Use with statuses 21, 57 and 59. Is a manual update.

Sub-status Code	Sub-status Code Name	Description
BR	Auto Closure Closing Business Rule Error	<ul style="list-style-type: none">• Used with status 71.• Is an automatic update (Only Records Manager can work or reassign to a specialist in 72).
CC	Closed Case	<ul style="list-style-type: none">• Case is in a final closed state.• Use with status 21 to indicate closed cases scanned into TEDS for Archival Purposes only.• Is an automatic update.
GR	Group Suspense	<ul style="list-style-type: none">• Group Suspense.• Use with status 37.• Is a manual update.
PC	Proposed Closure	<ul style="list-style-type: none">• Used with status 74.• Is a manual update.
UI	Unassigned Suspense	<ul style="list-style-type: none">• Unassigned Inventory, use with status 37• Is an automatic update.

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Exhibit 7.15.1-1 (11-01-2021)

TEDS Initial Login Screen



The screenshot shows the initial login screen for the TEDS (Tax Exempt Determination System). The screen has a white background with a gray header and footer. The header contains the TEDS logo and the text "Tax Exempt Determination System" and "Tax Exempt & Government Entities". The main content area features a bold warning message: "THIS U.S. GOVERNMENT SYSTEM IS FOR AUTHORIZED USE ONLY!". Below this is a paragraph of text stating that use of the system constitutes consent to monitoring and that unauthorized use is prohibited. There is a checkbox for "Additional Accessibility Options". The footer contains a question mark icon on the left and a "Login" button on the right.

TEDS Tax Exempt
Determination System
Tax Exempt & Government Entities

THIS U.S. GOVERNMENT SYSTEM IS FOR AUTHORIZED USE ONLY!

Use of this system constitutes consent to monitoring, interception, recording, reading, copying or capturing by authorized personnel of all activities. There is no right to privacy in this system. Unauthorized use of this system is prohibited and subject to criminal and civil penalties.

☐ Additional Accessibility Options

? Login

Exhibit 7.15.1-2 (09-15-2015)**Status Code Process Steps Table**

This exhibit provides a comprehensive list of status code process steps. If a case is in the “From” status, it may be updated to any of the “To” status’s.

Package Type	From	To	Description	Transition Requirement	From Container Path/Location	To Container Path/Location	Comments
	21	21AD	Closed to Closed (Additional Document)	Automatic	Archived Cases → EP Cases → Archive Year → Case → Documents → (and appropriate sub folders).	Case remains in the Archive with no change in the container structure.	
	21CC	21AD	Closed Case -to- Closed (Additional Document)	Automatic	Archived Cases → EP Cases → Archive Year → Case → Documents → (and appropriate sub folders).	Case remains in the Archive with no change in the container structure.	
	21AC	21AD	Auto Closure -to- Closed (Additional Document)	Automatic	Archived Cases → EP Cases → Archive Year → Case → Documents → (and appropriate sub folders).	Case remains in the Archive with no change in the container structure.	
	21	21AR	Closed to Administrative Re-Opening	Manual – Generally to print a letter	Archived Cases → EP Cases → Archive Year → Case → Documents → (and appropriate sub folders).	Case remains in the Archive with no change in the container structure.	

Exhibit 7.15.1-2 (Cont. 1) (09-15-2015)
Status Code Process Steps Table

Package Type	From	To	Description	Transition Requirement	From Container Path/Location	To Container Path/Location	Comments
	21CC	21AR	Closed Case -to- Administrative Re-Opening	Manual	Archived Cases → EP Cases → Archive Year →Case→ Documents→ (and appropriate sub folders).	Case remains in the Archive with no change in the container structure.	
	21AC	21AR	Auto Closure -to- Administrative Re-Opening	Manual	Archived Cases → EP Cases → Archive Year →Case→ Documents→ (and appropriate sub folders).	Case remains in the Archive with no change in the container structure.	
	21AD	21AR	Closed (Additional Document) -to- Administrative Re-Opening	Manual	Archived Cases → EP Cases → Archive Year →Case→ Documents→ (and appropriate sub folders).	Case remains in the Archive with no change in the container structure.	
	21AR	21	Administrative Re-Opening to Closed	Manual	Archived Cases → EP Cases → Archive Year →Case→ Documents→ (and appropriate sub folders).	Case remains in the Archive with no change in the container structure.	Closed with applicable Closing Code

Exhibit 7.15.1-2 (Cont. 2) (09-15-2015)
Status Code Process Steps Table

Package Type	From	To	Description	Transition Requirement	From Container Path/Location	To Container Path/Location	Comments
	21AR	21CC	Administrative Re-Opening -to-Closed Case	Manual	Archived Cases → EP Cases → Archive Year →Case→ Documents→ (and appropriate sub folders).	Case remains in the Archive with no change in the container structure.	
	21AR	21AC	Administrative Re-Opening -to-Closed Case	Manual	Archived Cases → EP Cases → Archive Year →Case→ Documents→ (and appropriate sub folders).	Case remains in the Archive with no change in the container structure.	
Initial Application	37	51	Suspense -to-Unassigned Inventory (non-merit)	Manual	NUI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Remains in NUI.	Suspense Code used with Appropriate Sub-Status. Depending on when the case is put in suspense is where case will come from.
Initial Application	37	61	Suspense (Technical Screening) -to-Unassigned Inventory (Technical Screening)	Manual	NUI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Remains in NUI.	Suspense Code used with Appropriate Sub-Status. Depending on when the case is put in suspense is where case will come from.

Exhibit 7.15.1-2 (Cont. 3) (09-15-2015)
Status Code Process Steps Table

Package Type	From	To	Description	Transition Requirement	From Container Path/Location	To Container Path/Location	Comments
Initial Application	37	71	Suspense (Technical Screening) -to- Unassigned Inventory (Accelerated Processing)	Manual	NUI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Remains in NUI.	
Initial Application	37	74	Suspense -to- For Managerial Review	Manual	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	Suspense Code used with Appropriate Sub-Status
Initial Application	37	75	Suspense -to- Group Inventory	Manual	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	Suspense Code used with Appropriate Sub-Status
Initial Application	51	37	Unassigned inventory (non-merit) -to- Suspense	Manual	NUI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Remains in NUI. Move all documents to the NAI container with the same sub folder structure as for the NUI.	Suspense code used with applicable sub-status code
Initial Application	52	74	Assigned to specialist – non-merit -to- For managerial review	Manual	NAI → EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	No Closing Rules to be run.

Exhibit 7.15.1-2 (Cont. 4) (09-15-2015)
Status Code Process Steps Table

Package Type	From	To	Description	Transition Requirement	From Container Path/Location	To Container Path/Location	Comments
Initial Application	52	74PC	Assigned to specialist – non-merit -to- Managerial Review (Proposed Closure)	Manual	NAI → EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	Closing Business Rules would be run.
Initial Application	52	75	Assigned to specialist – non-merit -to- Group Inventory	Manual	NAI → EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	
Initial Application	53	74	Return to Specialist (Non-Merit) -to- For Managerial Review	Manual	NAI →EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	No Closing Rules.
Initial Application	53	74PC	Return to Specialist (Non-Merit) -to- Managerial Review (Proposed Closure)	Manual	NAI →EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	
Initial Application	53	75	Return to Specialist (Non-Merit) -to- Group Inventory	Manual	NAI →EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	
Initial Application	61	37	Unassigned inventory (technical screening) -to- Suspense	Manual	NUI → EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NUI.	Suspense Code used with Associated Sub-Code

Exhibit 7.15.1-2 (Cont. 5) (09-15-2015)
Status Code Process Steps Table

Package Type	From	To	Description	Transition Requirement	From Container Path/Location	To Container Path/Location	Comments
Initial Application	61	75	Unassigned inventory (technical screening) -to- Group Inventory	Manual – when the case is assigned to a group	NUI → EP Cases→ Case→ Documents→ (and appropriate sub folders).	Move all documents to the NAI container with the same sub folder structure as for the NUI.	The following automated flows are possible: 61 to 52 (via 75) 61 to 62 (via 75) 61 to 72 (via 75)
Initial Application	62	74PC	Assigned to technical screener –to- For managerial review (Proposed Closure)	Manual – when the case is assigned to a specialist as a non-merit case	NAI → EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	EP Closing Business Rules to run prior to reaching 74PC
Initial Application	62	74	Assigned to technical screener -to- For managerial review	Manual	NAI → EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	Remove EP Closing Business Rules from 62 to 74 flow.
Initial Application	62	75	Assigned to technical screener -to- Group Inventory	Manual – when the case is assigned to a group from technical screening	NAI → EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	
EPCC	63	21CC	Case established -to- Closed	Automatic – after status '63' when TEDS case is a Closed Case using EP Closed Case & Case is non-existent in TEDS	Archived Cases → EP Cases→ Archive Year →Case→ Documents→ (and appropriate sub folders).	No change in container structure.	

Exhibit 7.15.1-2 (Cont. 6) (09-15-2015)
Status Code Process Steps Table

Package Type	From	To	Description	Transition Requirement	From Container Path/Location	To Container Path/Location	Comments
5310A	63	21AC	Case established -to-Closed	Automatic – when the application is form 5310A	NUI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Archived Cases→ EP Cases→ Archive Year →Case→ Documents→ (and appropriate sub folders).	Closing Code is 08
Initial Application	63	51	Case established -to-Unassigned inventory (non-merit)	Automatic – immediately after status '63' when result of initial business rules is a non-merit case classification.	NUI→EP Cases→ Case→ Documents→ (and appropriate sub folders).	No change in container structure.	
Initial Application	63	61	Case established -to-Unassigned inventory (technical screening)	Automatic – immediately after status '63' when result of initial business rules is a merit, merit-proposed-auto, or auto-closure case classification)	NUI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	No change in container structure.	
5330 & 5310	63	71AC	Case Established -to-Unassigned Inventory (Accelerated Processing)	Automatic	NUI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	NUI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	

Exhibit 7.15.1-2 (Cont. 7) (09-15-2015)
Status Code Process Steps Table

Package Type	From	To	Description	Transition Requirement	From Container Path/Location	To Container Path/Location	Comments
Initial Application	64	74PC	Manager returned technical screener case to specialist -to- Managerial Review (Proposed Closure)	Manual	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	EP Closing Business Rules to Run.
Initial Application	64	74	Manager returned technical screener case to specialist -to- For Managerial Review	Manual	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	Remove Closing Rules from 64 to 74 flow.
Initial Application	64	75	Manager returned technical screener case to specialist -to- Group Inventory	Manual	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	
Initial Application	71	37	Unassigned inventory (Accelerated Processing) -to- Suspense	Manual	NUI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NUI with no change in the container structure.	
Initial Application	71	75	Unassigned inventory (Accelerated Processing) -to- Group Inventory	Manual —when case is assigned to a group	NUI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Move all documents to the NAI container with the same sub older structure as for the NUI.	The following automated flows are possible: 71 to 52 (via 75) 71 to 62 (via 75) 71 to 72 (via 75)

Exhibit 7.15.1-2 (Cont. 8) (09-15-2015)
Status Code Process Steps Table

Package Type	From	To	Description	Transition Requirement	From Container Path/Location	To Container Path/Location	Comments
5300 & 5310	71AC	21AC	Unassigned Inventory (Accelerated Processing) –to- Auto Closure	Automatic	NUI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Archived Cases →EP Cases→ Archive Year →Case→ Documents→ (and appropriate sub folders).	Transition if: - Current date is greater than control date + 60 days and - Closing business rules successful
5300 & 5310	71AC	37	Unassigned Inventory (Accelerated Processing) –to- Suspense	Manual	NUI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in the NUI with no change in the container structure.	
5300 & 5310	71AC	71BR	Auto Closure –to- Closing BR Incomplete	Automatic	NUI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in the NUI with no change in the container structure.	Transition if: - Current date is greater than control date + 60 days and - Closing business rules failed
5300 & 5310	71AC	75	Auto Closure – to – Group Inventory	Manual	NUI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Move all documents to the NAI container with the same subfolder structure as for the NUI.	The following automated flows are possible: 71AC to 52 (via 75) 71AC to 62 (via 75) 71AC to 72 (via 75)

Exhibit 7.15.1-2 (Cont. 9) (09-15-2015)
Status Code Process Steps Table

Package Type	From	To	Description	Transition Requirement	From Container Path/Location	To Container Path/Location	Comments
5300 & 5310	71BR	71AC	Closing BR Incomplete –to- Auto Closure	Manual	NUI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).		
5300 & 5310	71BR	37	Closing BR Incomplete –to- Suspense	Manual	NUI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in the NUI with no change in the container structure.	
5300 & 5310	71BR	75	Closing BR Incomplete – to – Group Inventory	Manual	NUI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Move all documents to the NAI container with the same subfolder structure as for the NUI.	The following automated flows are possible: 71BR to 52 (via 75) 71BR to 62 (via 75) 71BR to 72 (via 75)
Initial Application	72	74PC	Assign to Technical Screener (AP/ IP) -to- Managerial Review (Proposed Closure)	Manual	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	May require Closing Business Rules to be run.
Initial Application	72	74	Assign to Technical Screener (AP/ IP) -to- For Managerial Review	Manual	NAI→EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	No Closing Business Rules.

Exhibit 7.15.1-2 (Cont. 10) (09-15-2015)
Status Code Process Steps Table

Package Type	From	To	Description	Transition Requirement	From Container Path/Location	To Container Path/Location	Comments
Initial Application	72	75	Assign to Technical Screener (AP/IP) -to- Group Inventory	Manual – when the case is assigned to a group from technical screening	NAI→EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	
Initial Application	73	74PC	Return to Technical Screener (AP/IP) -to- Managerial Review (Proposed Closure)	Manual	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	May Require Closing Business Rules.
Initial Application	73	74	Return to Technical Screener (AP/IP) -to- For Managerial Review	Manual	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	No Business Rules would be run.
Initial Application	73	75	Return to Technical Screener (AP/IP) -to- Group Inventory	Manual – when the case is assigned to a group from technical screening	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	
Initial Application	74	37	For managerial review -to- Suspense	Manual	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	Suspense Code used with Associated Sub-Code
Initial Application	74	51	For managerial review -to- Un-assigned inventory (non-merit)	Manual	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	NUI → EP Cases→ Case→ Documents→ (and appropriate sub folders).	

Exhibit 7.15.1-2 (Cont. 11) (09-15-2015)
Status Code Process Steps Table

Package Type	From	To	Description	Transition Requirement	From Container Path/Location	To Container Path/Location	Comments
Initial Application	74	52	For managerial review -to- Assigned to specialist – non-merit	Manual	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	
Initial Application	74	53	For managerial review -to- Return to Specialist (Non-Merit)	Manual	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	
Initial Application	74	61	For managerial review -to- Unassigned inventory (technical screening)	Manual	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	NUI→ EP Cases→; Case→; Documents→ (and appropriate sub folders).	
Initial Application	74	62	For managerial review -to- Assigned to technical screener	Manual	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders)	Case remains in NAI with no change in the container structure.	
Initial Application	74	64	For managerial review -to- Manager Returned Technical Screening Case to Specialist	Manual	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	
Initial Application	74	71	For managerial review -to- Unassign Case (AP/IP)	Manual	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	NUI →EP Cases→ Case→; Documents→; (and appropriate sub folders).	

Exhibit 7.15.1-2 (Cont. 12) (09-15-2015)
Status Code Process Steps Table

Package Type	From	To	Description	Transition Requirement	From Container Path/Location	To Container Path/Location	Comments
Initial Application	74	72	For managerial review -to- Assign to Technical Screener (AP/ IP)	Manual	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	
Initial Application	74	73	For Managerial Review -to- Return to Technical Screener (AP/ IP)	Manual	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	
Initial Application to another group (and vice versa)	74	74	For managerial review -to- For managerial review	Manual - Use when going between one group to another Group and vice versa	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	Need to determine when this flow would be used.
Initial Application	74	75	For managerial review -to- Group Inventory	Manual	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	
Initial Application	74	91	For managerial review -to- Un-assigned Inventory (Washington)	Manual	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	NUI→EP Cases→ Case→ Documents→ (and appropriate sub folders).	
Initial Application	74PC	37	Managerial Review (Proposed Closure) -to- Suspense	Manual	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	Suspense Code used with Associated Sub-Code

Exhibit 7.15.1-2 (Cont. 13) (09-15-2015)
Status Code Process Steps Table

Package Type	From	To	Description	Transition Requirement	From Container Path/Location	To Container Path/Location	Comments
Initial Application	74PC	51	Managerial Review (Proposed Closure) -to- Unassigned inventory (non-merit)	Manual	NA/NUII→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	NUI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	
Initial Application	74PC	52	Managerial Review (Proposed Closure) -to- Assigned to Specialist (Non-merit)	Manual	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	
Initial Application	74PC	53	Managerial Review (Proposed Closure) -to- Manager returned to specialist	Manual	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	
Initial Application	74PC	21	Managerial Review (Proposed Closure)	Manual	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	
Initial Application	74PC	61	Managerial Review (Proposed Closure) -to- Unassigned inventory (technical screening)	Manual	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	NUI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	
Initial Application	74PC	62	Managerial Review (Proposed Closure) -to- Assigned to a Technical Screener	Manual	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	

Exhibit 7.15.1-2 (Cont. 14) (09-15-2015)
Status Code Process Steps Table

Package Type	From	To	Description	Transition Requirement	From Container Path/Location	To Container Path/Location	Comments
Initial Application	74PC	64	Managerial Review (Proposed Closure)-to-Manager returned technical screener case to specialist	Manual	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	
Initial Application	74PC	71	Managerial Review (Proposed Closure) -to-Unassigned inventory (Accelerated Processing)	Manual	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	NUI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	
Initial Application	74PC	72	Managerial Review (Proposed Closure) -to-Assign to Technical Screener (AP/IP)	Manual	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	
Initial Application	74PC	73	Managerial Review (Proposed Closure) -to-Return to Technical Screener (AP/IP)	Manual	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	
Initial Application	74PC	74	Managerial Review (Proposed Closure) -to-For Managerial Review	Manual	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	

Exhibit 7.15.1-2 (Cont. 15) (09-15-2015)
Status Code Process Steps Table

Package Type	From	To	Description	Transition Requirement	From Container Path/Location	To Container Path/Location	Comments
Initial Application to Group Inventory	74PC	75	Managerial Review (Proposed Closure) -to- Group Inventory	Manual	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	
Initial Application to QA	74PC	75	Managerial Review (Proposed Closure) -to- Group Inventory in QA	Automatic	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	
Initial Application	75	37	Group Inventory -to- Suspense	Manual	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	Suspense Code used with Associated Sub-Code
Initial Application	75	51	Group Inventory -to- Unassigned inventory (non-merit)	Manual	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	NUI→EP Cases→ Case→ Documents→ (and appropriate sub folders).	
Initial Application	75	52	Group Inventory -to- Assigned to specialist - non-merit	Manual	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	
Initial Application	75	61	Group Inventory -to- Unassigned inventory (technical screening)	Manual	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	NUI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	

Exhibit 7.15.1-2 (Cont. 16) (09-15-2015)
Status Code Process Steps Table

Package Type	From	To	Description	Transition Requirement	From Container Path/Location	To Container Path/Location	Comments
Initial Application	75	62	Group Inventory -to- Assigned to technical screener	Manual – when the case is assigned to a technical screener	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	
Initial Application	75	71	Group Inventory -to- Unassign Case (AP/IP)	Manual	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	NUI→EP Cases→ Case→ Documents→ (and appropriate sub folders).	
Initial Application	75	72	Group Inventory -to- Assign to Technical Screener (AP/IP)	Manual –when the case is assigned to a specialist as an AP case.	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	
Initial Application	75	74	Group Inventory -to- For Managerial Review	Manual	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	Used to correct an error. No Closing Business Rules to Run.
Initial Application	75	75	Group Inventory -to- Group Inventory	Manual (Mgr to Mgr)	NAI→ EP Cases→ Case→ Documents→ (and appropriate sub folders).	Case remains in NAI with no change in the container structure.	Allows manager-to-manager reassignment
EPCC	All	21	All - to- Closed	Automatic-when EPCC received for case not in 21		No change in container structure.	