



MANUAL TRANSMITTAL

Department of the Treasury
Internal Revenue Service

7.15.7

NOVEMBER 24, 2021

EFFECTIVE DATE

(11-24-2021)

PURPOSE

- (1) This transmits revised IRM 7.15.7, Employee Plans TEDS User Manual, Electronic Case Processing.

MATERIAL CHANGES

- (1) Added internal control sections. Amended and renamed IRM 7.15.7.1, formerly Overview, now Program, Scope and Objectives. Added IRM 7.15.7.1.1, Background; IRM 7.15.7.1.2, Authority; and IRM 7.15.7.1.3, Acronyms.
- (2) Updated for plain language and editorial changes.

EFFECT ON OTHER DOCUMENTS

This supersedes IRM 7.15.7, dated September 18, 2015.

AUDIENCE

Tax Exempt and Government Entities, Employee Plans

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

7.15.7

Electronic Case Processing

Table of Contents

- 7.15.7.1 Program, Scope and Objectives
 - 7.15.7.1.1 Background
 - 7.15.7.1.2 Authority
 - 7.15.7.1.3 Acronyms
- 7.15.7.2 Case Assignment
 - 7.15.7.2.1 Case Assignment Capabilities
 - 7.15.7.2.2 Case Assignment Process
 - 7.15.7.2.3 Group Inventory
 - 7.15.7.2.4 Reassigning, Changing the Status, or Transferring Cases
- 7.15.7.3 Modifying Data
 - 7.15.7.3.1 Comparing Recorded Data with Scanned Image
 - 7.15.7.3.2 Changing Basic Entity Data
 - 7.15.7.3.3 Changing Disclosable Indicator
 - 7.15.7.3.4 Accessing Case Information
 - 7.15.7.3.5 Case Information Screen
 - 7.15.7.3.6 General Case Info. Tab
 - 7.15.7.3.7 Editing Case Categories
 - 7.15.7.3.8 Plan Info Tab
 - 7.15.7.3.9 Receipt and Handling Tab
 - 7.15.7.3.10 Entity Data Tab
 - 7.15.7.3.11 Contacts Tab
 - 7.15.7.3.12 EP Closing Data Tab
- 7.15.7.4 Importing and Moving Documents
 - 7.15.7.4.1 Importing Documents to Case Files
 - 7.15.7.4.2 Moving Documents
 - 7.15.7.4.3 Editing Imported Documents
- 7.15.7.5 Copying TEDS Documents
 - 7.15.7.5.1 Tracking Copied Documents
 - 7.15.7.5.2 Potential Error Messages
- 7.15.7.6 Preparing a Case for Closing
 - 7.15.7.6.1 TEDS Case Closure
 - 7.15.7.6.2 Entering Closing Information
 - 7.15.7.6.3 Updating Case(s) for Manager Review
 - 7.15.7.6.4 Closing Business Rules
 - 7.15.7.6.4.1 Confirming the Status Change

-
- 7.15.7.6.4.2 Indicators that Prevent Closing in TEDS
 - 7.15.7.7 TEDS and EDS System Updates
 - 7.15.7.8 Request for Manager Review
 - 7.15.7.9 Confirming Selected Status
 - 7.15.7.10 Case Chronology Record
 - 7.15.7.10.1 Automatic Case Chronology Record Updates
 - 7.15.7.10.2 Automatic Case Chronology Record Information
 - 7.15.7.10.3 Manual Case Chronology Record Entries
 - 7.15.7.10.4 Creating a Case Chronology Record Entry
 - 7.15.7.10.5 Case Chronology Options
 - 7.15.7.10.6 Completing a Follow-up or Editing an Entry
 - 7.15.7.10.7 Correcting a Chronology Entry
 - 7.15.7.10.8 Editing Case Chronology Activities
 - 7.15.7.10.9 Correcting Time on a Case Chronology Entry
 - 7.15.7.11 Case Chronology Report
 - 7.15.7.11.1 Exporting the Case Chronology Report
 - 7.15.7.11.2 Printing a Case Chronology Report

Exhibits

- 7.15.7-1 Select Cases for Assignment
- 7.15.7-2 Change Status File Option
- 7.15.7-3 Select Status Screen
- 7.15.7-4 Assign Case Screen
- 7.15.7-5 Select Case for Transfer or Reassignment
- 7.15.7-6 Select Desired Action
- 7.15.7-7 Case Folder Level
- 7.15.7-8 Change Case
- 7.15.7-9 Modify Entity Information
- 7.15.7-10 Modify Entity Information Screen
- 7.15.7-11 Send Update to EDS
- 7.15.7-12 Make Case Disclosable/Confirmation
- 7.15.7-13 Accessing Case Information From the Case Information View
- 7.15.7-14 Accessing Case Information From the My Cases View or Search Results
- 7.15.7-15 Case Information: Info
- 7.15.7-16 EP General Case Info. Screen
- 7.15.7-17 Editing Case Category
- 7.15.7-18 Add, Remove or Reorder Case Category
- 7.15.7-19 EP Plan Info Tab
- 7.15.7-20 Receipt and Handling Tab

-
- 7.15.7-21 Entity Data Tab
 - 7.15.7-22 Contacts Tab
 - 7.15.7-23 Import: File Screen
 - 7.15.7-24 Import: Object Definition Screen
 - 7.15.7-25 Document to be Moved/New Folder Destination
 - 7.15.7-26 Destination Confirmation Screen
 - 7.15.7-27 Select Document for Editing/Select File Edit
 - 7.15.7-28 Checked Out Locked Document (Key Showing)
 - 7.15.7-29 Check In Screen
 - 7.15.7-30 Copy Document to Another Case
 - 7.15.7-31 Update to EDS
 - 7.15.7-32 Select Update Status
 - 7.15.7-33 Select Status Change Screen
 - 7.15.7-34 Manager's Inbox Notification
 - 7.15.7-35 TEDS Alert Cannot Update Status
 - 7.15.7-36 Case Chronology Folder
 - 7.15.7-37 Create Case Chronology
 - 7.15.7-38 Complete Case Chronology Fields
 - 7.15.7-39 Accessing an Existing Case Chronology Entry
 - 7.15.7-40 Accessing an Existing Case Chronology Entry - Using Properties
 - 7.15.7-41 Select Activity: Edit
 - 7.15.7-42 Add or Remove Activities from Case Chronology Report
 - 7.15.7-43 Total Time - Data Entry Tab
 - 7.15.7-44 Case Chronology Folder
 - 7.15.7-45 Case Chronology Report Entry with Missing Role
 - 7.15.7-46 Creating a Case Chronology Report
 - 7.15.7-47 EP Case Chronology Report and Record

7.15.7.1
(11-24-2021)
Program, Scope and Objectives

- (1) **Purpose:** This IRM provides determination application processing procedures for working cases in the Tax Exempt Determinations Systems (TEDS) electronic environment.
- (2) **Audience:** The procedures in this manual are for Employee Plans employees who work in TEDS. It is designed to show how to operate within the TEDS electronic environment. See IRM 7.11.1, Employee Plans Determination Letter Program for case review instructions.
- (3) **Policy Owner:** Director, EP.
- (4) **Program Owner:** EP.
- (5) **Policy Goals:** To explain TEDS:
 - Case assignment capabilities and options.
 - Case processing steps.
 - Proposed closing and managerial review steps.

7.15.7.1.1
(11-24-2021)
Background

- (1) Tax Exempt Determination System (TEDS) is a web-based information system that provides an electronic case and inventory management system Tax Exempt and Government Entities (TE/GE) Determinations business units use to manage cases.
- (2) TEDS was launched as a pilot in 2003 and from that time on, with a few exceptions, the EP Determination applications have been processed using this electronic system. EP Determination applications are uploaded to TEDS and, using on-screen capabilities, specialists review and process cases in TEDS.

7.15.7.1.2
(11-24-2021)
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>.

7.15.7.1.3
(11-24-2021)
Acronyms

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

Acronym	Definition
BRE	Business Rules Engine
DL	Determination Letter
EDS	EP/EO Determination System
EP	Employee Plans
EP/EO	Employee Plans-Exempt Organizations
NAI	National Assigned Inventory

Acronym	Definition
BRE	Business Rules Engine
NUI	National Unassigned Inventory
TE/GE	Tax Exempt and Government Entities
TEDS	Tax Exempt Determination System

7.15.7.2
(11-24-2021)
Case Assignment

- (1) For case assignment procedures, see IRM 7.11.2. The group manager:
 - a. Selects and assigns cases.
 - b. Can delegate the case assignment role to others in their group.
- (2) When an assignment is complete, TEDS sends an inbox notification to the manager and assignee.

7.15.7.2.1
(07-19-2013)
Case Assignment Capabilities

- (1) TEDS has several case assignment options. An assigner can assign:
 - One or several cases to an individual.
 - One or multiple cases to the group.

7.15.7.2.2
(07-19-2013)
Case Assignment Process

- (1) The group managers and other case assignors can assign cases to:
 - A group's unassigned inventory in status 75.
 - A specialist.
- (2) The group manager's inventory consist of unassigned group cases available for assignment to group members.
- (3) To start the case assignment process, the assigner runs an advance search for the desired:
 - a. Unassigned inventory (status 51, 61, 71, or 91).
 - b. Case criteria (control dates, case categories, form numbers, etc).

Note: See IRM 7.11.1, and IRM 7.11.2, EP Case Assignment Guide for case assignment help.

- (4) Using the advanced search results the assigner follows the steps in the table below:

Step	Action
1.	Select the case(s) to be assigned (may assign up to 50 cases at one time). Highlight the case(s) by holding down the Ctrl key See Exhibit 7.15.7-1 Select Cases for Assignment.
2.	Click File on the gray toolbar.

Step	Action
3.	Select Change Status , or right click on selected case. See Exhibit 7.15.7-2 Change Status File Option.

Note: When using Advanced Search for assigning case(s) “must” use **Contains**.

(5) The **Selected Status** screen displays the statuses in a drop-down menu. See Exhibit 7.15.7-3, Select Status Screen.

Example: Select Assign Case (Non-Merit) -- 75/52, Assign Case (Merit) -- 75/62, or Assign Case (AP) -- 75/72 from the drop-down menu.

(6) The Assign Case screen displays a list of cases available for assignment. See Exhibit 7.15.7-4, Assign Case Screen. The assignor can assign case(s) to the group (status 75) or assign cases to individuals within the group. To assign cases to the unassigned group inventory, the assigner must either:

- Select the Group Number.
- Select “**view screeners**” next to the group number.

(7) To complete the assignment, scroll down to select the individual specialist to whom the case(s) will be assigned.

(8) A confirmation screen displays the newly assigned:

- a. Case name(s).
- b. Case number(s).
- c. Group or assignee number.

(9) If case assignment is successful, TEDS updates the case:

- To status 52, 62, 72, or 75.
- History to reflect the activity.

(10) Click **Close** at the bottom right of the screen to return to the main screen.

Note: You may receive a message indicating “selected National Unassigned Inventory (NUI) case(s) could not be assigned.” This may occur when assigning cases to the group inventory or directly to a specialist if another case assigner was attempting to assign the same case to another user at approximately the same time. The assigner whom TEDS recognizes as requesting the case first will receive the case assignment.

7.15.7.2.3 (07-19-2013) Group Inventory

(1) Each manager has cases in various status codes that are considered part of their group inventory. Group inventory is considered part of the National Assigned Inventory (NAI).

(2) Group inventory includes cases:

- a. Assigned directly to members of the group – these cases can be in various stages of completion.
- b. Completed by the specialist and are waiting for managerial review.
- c. In unassigned group inventory or “group suspense”.

- (3) Group inventory is “owned” by the group. If a group manager changes, all group inventory remains associated with the group rather than the individual manager. Group manager changes are completed via an Online 5081 request. Temporary group manager delegations are completed by the group manager through role delegation. See IRM 7.15.4, Tax Exempt Determination System (TEDS) Roles and Delegation.
- (4) The group manager and:
 - a. The Specialist have dual ownership of a case assigned directly to members of the group.
 - b. Anyone above the group manager (e.g., Area Manager) can view the group inventory and may have other permissions to the case(s).
- (5) The group manager’s “My Cases” inventory:
 - a. Lists all cases assigned in the group.
 - b. Identifies specialist assigned to the case.
- (6) The group manager can also view cases assigned to each specialist within the group by using the “User Cases” cabinet or selecting “Reports” and then clicking “Specialists Inventory”.

7.15.7.2.4
(07-19-2013)
**Reassigning, Changing
the Status, or
Transferring Cases**

- (1) A manager may need to reassign/transfer case(s) to another user. Only a group manager or assigner can reassign cases assigned to the group or the group members. Cases can be assigned from one user to another or from one group to another.
- (2) To reassign or transfer a case, the case must be updated to status 74, 74PC or 75 before reassignment to another specialist or group.
- (3) To reassign, update the status, or transfer a case, the manager or assigner must take the following steps:

Step	Action
1.	From My Cases Highlight the case(s) to be updated. See Exhibit 7.15.7-5, Select Case for Transfer or Reassignment. Note: Multiple cases can be selected by holding down the “Ctrl key” and highlighting each case or holding down the shift key and highlighting the top and bottom case to select consecutive cases.

2.	Click "File," then click "Change Status" and then from the select status change drop-down menu select 75, Group Transfer or the desired assign or unassign action from the drop-down box. See Exhibit 7.15.7-6, Select Desired Actions.
3.	When the "Case Transfer" or "Case Assign" screen appears with the selected case(s), click on the link for the desired group or specialists. A confirmation screen showing the completed action will be received.
4.	Click "Close" to return to main screen.

Note: An automatic case chronology entry is created to reflect the case reassignment or transfer.

- (4) If a specialist transfers to another work group, case(s) in an active assigned status automatically transfers with him/her. Specialist group reassignment is completed via Online 5081 request. This is the only action that the group manager or designee takes.
- (5) Cases in status 74, 74PC, or 37 don't transfer with the specialist even though they may appear in the specialist's My Cases listing. Cases in these statuses are considered unassigned group inventory and remain with the group.

7.15.7.3
(09-08-2014)
Modifying Data

- (1) Maintaining accurate records is an important function of the determination application process. As part of reviewing determination cases, specialists verify that entity information and other case data are correct in TEDS (such as, correct name, address, user fee paid, etc.)
- (2) Correction to data and entity information must be made when the case is open.

Reminder: Information flows from TEDS to EDS. Therefore, all case updates must be made in TEDS for cases established in TEDS. Once an update is made in TEDS it rolls to EDS. Don't make updates in EDS as this will cause a blocked error message, (EDS Block). Once a case has an EDS block, no TEDS updates will roll to EDS.

- (3) If a case has an EDS block,
 - a. A specialist can only update a case to status 74.
 - b. A manager can only update a case status 74 or 75. To remove the EDS block, contact the designated manager. Once the block is removed, the case can be closed.

- (4) A TEDS case with an EDS block in TEDS will have an Event Code EB, (EDS Block).
- An EDS Block Indicator is set.
 - The Event Code EB and the EDS Block Indicator are set when a transaction to EDS is blocked.
- (5) The EDS Block update is recorded in the Case History Report on TEDS and EDS.

7.15.7.3.1
(09-08-2014)

Comparing Recorded Data with Scanned Image

- To ensure case accuracy, you will verify application entity information with scanned data.
- Make changes as necessary to the data.

7.15.7.3.2
(09-08-2014)

Changing Basic Entity Data

- Entity information can be viewed and must be edited from the File drop-down menu. Entity information consists of:
 - Applicant name.
 - Employer Identification Number (EIN).
 - Name control.
- To change entity information follow these steps:

Step	Action	See
1.	Open the case to Case Folder Level .	Exhibit 7.15.7-7, Case Folder Level.
2.	Click File then from the drop-down menu select Change Case . You can also highlight the case information line then right click on the case information line and select from the dialog box Change Case .	Exhibit 7.15.7-8, Change Cases.
3.	A new window opens. Select Modify Entity Information from the drop-down menu, Click OK .	Exhibit 7.15.7-9, Modify Entity Information and Exhibit 7.15.7-10, Modify Entity Information Screen.

4.	<p>Correct the information as needed.</p> <p>Reminder: When modifying the applicant name, the only special characters allowed are hyphen (-) and ampersand (&). When changing the name control, refer to Document 7071-A, Name Control Job Aid - For Use Outside of the Entity Area.</p>	
5.	Click OK when finished.	
6.	Review the entity information to ensure the change was accepted.	
7.	Click Send Update to EDS . You can also highlight the case information line then right click on the case information line and select Send Update To EDS from the dialog box.	
8.	Click OK on Send Update to EDS screen..	See Exhibit 7.15.7-11, Send Update to EDS.

7.15.7.3.3
(09-08-2014)
Changing Disclosable Indicator

- (1) The disclosable indicator consists of a “T” for Non-Disclosable & “F” for Disclosable. The indicator is changed much like the entity information is modified. See Exhibit 7.15.7-12, Make Case Disclosable/Confirmation.
- (2) To change the disclosable indicator:

Step	Action
1.	Open the case to the main screen level.
2.	Click File then Change Case from the drop-down menu. You can also highlight the case information line then right click on the case information line and select Change Case from the dialog box.
3.	A new window opens. Select Make Case Disclosable from the drop-down menu and click OK .

4.	Select Make Case Disclosable from the drop-down menu and click OK .
5.	A new window opens, again click OK to confirm.

7.15.7.3.4
(09-08-2014)
Accessing Case Information

- (1) To ensure accuracy, you will also compare the information on an application with the data that is stored in the “Case Information” file. You may also need to enter additional case information for case closing. You can make changes to many of the Case Information data items.
- (2) From the case level view, access the Properties Information screen:
 - a. Right click on the “Case Information” line.
 - b. Left click “Properties” line in dialog box.
- (3) Access to the Properties information screen can also be obtained by clicking on the blue *icon* to the right of the Case Information line from the My Cases view on search results. See Exhibit 7.15.7-13, Accessing Case Information From the Case Information View and Exhibit 7.15.7-14, Accessing Case Information From the My Cases View or Search Results.

7.15.7.3.5
(09-18-2015)
Case Information Screen

- (1) You can modify case information from the “Case Information: Info” screen. The “Case Information: Info” file lists case data under several different headings. See Exhibit 7.15.7-15, Case Information: Info.
- (2) The “ Case Information: Info” screen has the following tabs:
 - General Case Info.
 - Plan Info.
 - Receipt and Handling.
 - Entity Data.
 - Contacts.
 - EP Closing Data.
 - Permissions.
- (3) Each of these tabs contains different information. You must click **OK** at the bottom of the screen for TEDS to accept the entries or corrections. Generally, you will update information on all tabs prior to selecting **OK**. You will be asked whether EDS should be updated and then be returned to the case main screen.

7.15.7.3.6
(09-08-2014)
General Case Info. Tab

- (1) The Case Information file opens to the General Case Info. tab. See Exhibit 7.15.7-16, General Case Info.
- (2) Authorized TEDS users can make changes or enter information into open fields including:
 - Expedite Reason Code.
 - Closing Code.
 - Request Type.
 - Case Grade.
 - Plan Name
 - Plan Number

- (3) Authorized TEDS users can update the following indicators:
 - Potential Duplicate Flag.
 - Pending Action.
 - Cycle On.
- (4) TEDS users can view the status of the EDS Block Indicator and Routing Slip Indicator from the EP Properties Info Screen.

7.15.7.3.7
(09-08-2014)
Editing Case Categories

- (1) Case Categories (e.g., Initial application/submission, amended plan, Affiliated Service Group, etc.):
 - Are initially determined by the opening business rules.
 - Can be edited by the case owner or other authorized TEDS user.
- (2) Editing Case Category is similar to the process described in IRM 7.15.6.7.3, Adding Column Headers or IRM 7.15.6.4.4, Removing Column Headers.
- (3) To edit a Case Category:

Step	Actions
1	Click Edit next to Case Category on the General Case Info. tab.
2	Highlight the category to be added or removed.
3	Click Add or Remove .
4	Highlight the category to be reordered on the lower box (if applicable).
5	Click Move Up or Move Down (if applicable).
6	Click OK or Cancel .

See Exhibit 7.15.7-17, Editing Case Category and Exhibit 7.15.7-18, Add Remove or Reorder Case Category.

7.15.7.3.8
(09-08-2014)
Plan Info Tab

- (1) The specialist must, if necessary:
 - Enter plan information.
 - Make changes to fillable fields.

See Exhibit 7.15.7-19, EP Plan Info. Tab.

Note: If Model Plan Type is Master/Prototype, Volume Submitter, Standardized or Nonstandardized, the Letter Serial Number must be completed or the case won't close.

7.15.7.3.9
(09-08-2014)
Receipt and Handling Tab

- (1) The specialist is responsible for ensuring that the user fee payments are correct. Use the Receipt and Handling Tab to verify that user fee payments are correct. See Exhibit 7.15.7-20, Receipt and Handling Tab.
- (2) The specialist will correct the Payment Status and Fee Code as necessary or review for dishonored check information.

Note: The payment status must be C or V in order for the case to close.

(3) The Receipt and Handling Tab displays:

- Case receipt data.
- Scanning information (including indication of non-scannable items).
- User fee indicator.
- Dishonored check indicator.

7.15.7.3.10
(09-08-2014)

Entity Data Tab

(1) The specialist is required to correct or complete the fillable fields such as applicant address and phone number as necessary. See Exhibit 7.15.7-21, Entity Data Tab.

(2) This tab also displays total time charged to the case. If time charged is inaccurate, it must be corrected within the incorrect case chronology entry.

7.15.7.3.11
(09-08-2014)

Contacts Tab

(1) The Contacts tab contains Power of Attorney information. See Exhibit 7.15.7-22, Contacts Tab.

(2) The specialist is required to correct the fillable fields, as necessary, including checking the box(es) to indicate copies of letters that go to the POA(s). (IRM 7.11.1).

7.15.7.3.12
(09-08-2014)

EP Closing Data Tab

(1) When the application is ready to be submitted for closure, the Closing Letter Number is to be entered. The format to be used is the Letter number, followed by .000. (ex. 5274.000).

(2) After verifying that all information is correct click:

- "OK" to accept changes.
- "Cancel" to delete changes.

(3) An Update to EDS screen appears. Unless procedures otherwise require an update, it isn't necessary for you send this manual update to EDS. An update is automatically sent to EDS when a status change occurs. Select as appropriate:

- a. "OK".
- b. "Cancel".

7.15.7.4
(09-08-2014)

Importing and Moving Documents

(1) TEDS allows the specialist to import documents prepared outside of TEDS into a case file.

(2) The specialist can perform the following functions:

- a. Browse computer files.
- b. Import additional documents and work papers.
- c. Move documents to the disclosable, non-disclosable folder or purge folder.
- d. Edit imported documents.
- e. Copy a document in one case file into another case file within the specialist's inventory.

7.15.7.4.1
(09-08-2014)
Importing Documents to Case Files

- (1) After successfully importing, the document can be moved to the appropriate destination folder. See Exhibit 7.15.7-23, *Import: File Screen*.

Caution: Don't import a document if the case status is 74, 74PC or 37.

- (2) To import a document:

Step	Action
1.	From the case main screen, click on the Documents folder.
2.	Click on the Working (or other target) folder.
3.	Click File and select Import from the drop-down menu.
4.	If a security warning screen appears, select Run .
5.	On the file import screen, click Browse .

- (3) To import any file located on the computer use the Choose File box:

Step	Action
1.	Locate and highlight the desired file on the computer.
2.	Click Open on the Chosen File box.
3.	To import an additional document(s) at the same time, select the next Browse box and repeat the above steps.
4.	After the desired documents have been selected, click Next or click Cancel to abort the import.

- (4) After the documents are selected for import, you will identify the document on the Import: Object Definition screen. This information must be entered for each imported document to ensure correct identification and placement in the electronic case file. See Exhibit 7.15.7-24, *Import: Object Definition Screen*.

- (5) On the Import: Object Definition screen:

Step	Action
1.	Change filename if desired.
2.	Select the Document Type from the drop-down menu.
3.	Select the Document Name from the drop-down menu.
4.	Click Finish to complete the import process.

7.15.7.4.2
(09-08-2014)
Moving Documents

- (1) After the import is complete, the document appears in the Working folder (or other targeted file) and is part of the case file. Documents imported to a case's Working file or placed in an incorrect folder must be moved to the appropriate destination folder (for example, from the Working folder to the Disclosable or Non-disclosable folder).

- (2) The specialist can move documents between the following folders:
- New Documents folder.
 - Working folder.
 - Disclosable folder.
 - Non-disclosable folder.
 - Purge folder.
- (3) Specialists must ensure that all documents are in the correct folders for case closing and archival purposes before submitting the case to the manager for review.
- (4) All documents in the New Documents must be moved to the appropriate folder in order to close the case in TEDS. See Exhibit 7.15.7-25, Document to be Moved/New Folder Destination, and Exhibit 7.15.7-26, Destination Confirmation Screen.

Caution: Don't move a document if the case status is 74, 74PC or 37.

- (5) To move a document:

Step	Action
1.	Open the folder of the document to be moved.
2.	Select the document to be moved.
3.	Click File and select the correct destination folder from the drop-down menu or right click on the selected document and select the correct destination folder.
4.	After you select the desired document destination, the display screen confirms that TEDS will move the document to the requested location. Click OK to complete the action or Cancel to abort.

7.15.7.4.3
(09-08-2014)
Editing Imported Documents

- (1) You can make changes within the system to documents imported into the case file. See Exhibit 7.15.7-27, Select Document for Editing/Select File Edit.
- (2) To edit an imported document:

Step	Action
1.	Open the folder where the document is located.
2.	Click File and select Edit from the drop-down menu, or select Edit by right clicking on selected document.
3.	If the Internet Explorer Security Warning appears, select Run .
4.	A key will appear next to the name of the document being edited.

Caution: Don't make changes to a document if the case status is 74, 74PC or 37.

- (3) The selected document will open in the appropriate program (i.e., Word, Excel, or Adobe). After you make the desired changes, save the document using the program's save functions and then close the document.

Note: If saving your document to a hard drive secure area, ensure that you notate the file location. When you check in the document TEDS will ask you to identify the location.

- (4) After saving and closing the document, go back to the TEDS folder where the original is located (the document still has a key next to it indicating that the document has been checked out and is being edited). See Exhibit 7.15.7-28, Checked Out Locked Document (Key Showing).

- (5) To complete the editing process:

Step	Action
1.	Highlight the document to be checked in.
2.	Select File , or right click on the selected document.
3.	From the menu, select Check In to accept the changes or Cancel Check Out to keep the original version of the document.
4.	After selecting Check In, a Check In screen appears. Exhibit 7.15.7-29, Check In Screen . TEDS will designate a save version. Caution: Don't change the default.
5	Complete desired entries (entries aren't required).
6.	Click OK to finish.

- (6) To check in the edited document:

Step	Action
1.	Select Check In from the File drop down menu.
2.	Click OK to Check in confirmation screen.

Caution: Selecting **Cancel Check Out** won't save document edits.

- (7) Ensure that all documents are checked in or that check outs are cancelled prior to case closing.

- (8) You can view the edited document by clicking on the document link.

Note: The key icon should no longer be next to the document name.

7.15.7.5
(09-08-2014)
**Copying TEDS
Documents**

- (1) The specialist can select one or more documents in a TEDS case and copy the documents into another case file. Both cases must be assigned to the specialist. See Exhibit 7.15.7-30, Copy Document to Another Case.
- (2) To copy a document:

Step	Action
1.	From the case main screen, click on the Documents folder.
2.	Click on the folder containing the document.
3.	Select the document.
4.	Click File , or right click on selected case, then select Copy Documents to Another Case from the drop-down menu.
5.	Select the Case to copy the documents.
6.	Enter the target case number.
7.	Select the correct destination folder from the drop-down menu.
8.	Click OK or Cancel to abort.
9.	A verification screen will display the applicant name and EIN of the target case as well as the document to be copied.
10.	Verify target information.
11.	Click OK to complete action or Cancel to abort.
12.	A copying document confirmation screen appears.

7.15.7.5.1
(09-08-2014)
**Tracking Copied
Documents**

- (1) Copied documents are tracked in the destination case's history. Tracked information includes:
 - Originating case number.
 - Copied document(s).
- (2) Access case history information from the main case screen Case History link or in the case level reports. No information is tracked in the originating case.

7.15.7.5.2
(09-18-2015)
**Potential Error
Messages**

- (1) TEDS will generate an error message when the selected documents can't be copied, Error messages are generated if the target case isn't assigned to the user or an unrecognized case number is entered.

Sample Error Message

The following Documents will NOT be copied due to errors.
Cannot copy documents to case EP-2018000-000000. The case must be in your inventory in order for you to copy documents.
Case EP-2018000-000001 was not found.

Figure 7.15.7-1

7.15.7.6
(09-08-2014)
Preparing a Case for Closing

- (1) After a specialist identifies and resolves all issues for a case the specialist will complete the closing information and update the case to status 74PC in TEDS to submit for managerial review.
- (2) The specialist works the case in TEDS and creates the determination letter in the Repository.

7.15.7.6.1
(09-18-2015)
TEDS Case Closure

- (1) State in your case chronology entry the reason for updating the case to the manager. The primary reasons to send a case to the manger are:
 - Is ready for proposed closure.
 - Needs to be reassigned.
 - Must be placed in suspense.
- (2) Updating a case to the manager is basically the same in all three circumstances. However, the closing information only needs to be completed for proposed closure cases updated to the manager in Status 74PC.
- (3) Before submitting a case to the manager for closure, you must:
 - a. Verify case data is correct (for example, total case time, transcribed data in pre-populated fields, user fee data, etc.)
 - b. Verify all documents are in the correct folders. Import all documentation (workpapers, correspondence). (IRM 7.15.7.6.3).
 - c. Input closing information.

7.15.7.6.2
(09-18-2015)
Entering Closing Information

- (1) The specialist is responsible for ensuring that all information is correct.
- (2) Closing information and case data are located in the Case Information file. Required closing information includes information currently contained on the back of Form 5621 (for example, closing codes, law indicator, vesting code, etc.).
- (3) Access the Case Information file:

Step	Action
1.	From My Cases, click on the blue I to the right of the Case Information link.
2.	From within the case file, right click on Case Information and select Properties from the drop-down menu.
3.	After making changes to the case information file, Click OK to accept changes or Cancel to abort changes.
4..	On the Update to EDS screen, click OK to update to EDS or Cancel to abort. See Exhibit 7.15.7-31, Update to EDS.

7.15.7.6.3
(09-18-2015)
Updating Case(s) for Manager Review

- (1) Prior to updating a case to Proposed Closure in status 74PC you will:

- Document the case file.
 - Move documents into proper folders.
 - Check the total time.
 - Enter the closing information.
 - Ensure the user fee is correct or validated.
 - Ensure that the transcribed information is correct.
- (2) When the case is updated for managerial review or reassignment, the specialist will update the case to the manager in status 74.
- (3) The specialist can update a single case or multiple cases for managerial review or proposed closure.
- (4) To select cases for review if updating:
- A single case, open the case to the case level view or update the case from My Case view.
 - Multiple cases, select the desired case by holding the control key and highlight the line of each case.
- (5) After the case(s) has been selected:

Step	Action
1.	Click File.
2.	Select Change Status from the drop-down menu. See Exhibit 7.15.7-32, Select Change Status.
3.	Select For Manager Review – 74 or For Proposed Closure – 74PC from the drop-down menu.
4.	Click OK to confirm or Cancel to abort. See Exhibit 7.15.7-33, Select Status Change Screen.

7.15.7.6.4
(09-08-2014)
Closing Business Rules

- (1) The closing business rules:
- Run automatically for a status 74PC update.
 - Don't run for a status 74 update.

7.15.7.6.4.1
(09-08-2014)
Confirming the Status Change

- (1) To determine if the closing business rules ran successfully you will check the case status.

IF the case status	THEN
updated to 74PC.	The closing business rules were successful and the case was updated to the manager for review.

IF the case status	THEN
updated to 62, 52 or 72 with event code BR, or Proposed Closure Failed in Inbox.	<p>You must review the closing Business Rule results to identify and resolve any remaining issues.</p> <p>Note: The most common issue is forgetting to update closing information (for example, vesting, law indicator, closing code).</p>

(2) To review the Business Rules:

Step	Action
1.	Open the case to the case main screen.
2.	Click on BRE Results .
3.	Click on Summary Messages .
4.	Summary Messages page appears. Scroll all the way to the bottom and view which Business Rule is preventing the case from closing correctly.
5.	After identifying the issue, update the necessary case information as explained in IRM 7.15.7.6.2, Entering Closing Information.

7.15.7.6.4.2
(09-18-2015)
Indicators that Prevent Closing in TEDS

- (1) TEDS Indicators generate a reminder that an issue needs to be resolved before updating the case to manager review. You can view the indicator from the Case Information Screen. See IRM 7.15.6, Navigating the Tax Exempt Determination System (TEDS).
- (2) When you attempt to update the case to status 74PC and there are active indicators, you'll receive a message and the case status won't update until the issues are resolved.
- (3) If you experience issues closing a case check the following indicators:
 - Potential Duplicate Flag (General Case Info. tab).
 - EDS Block Indicator (General Case Info. tab).
 - Routing Slip Indicator (General Case Info. tab).
 - Pending Action (General Case Info. tab).
 - Dishonored Check Indicator (Receipt and Handling tab).
 - User Fee Indicator (Receipt and Handling tab).
 - Mandatory Review (EP Closing Data tab).
 - Review Memo Indicator (EP Closing Data tab).
- (4) Other reasons that prevent closing in TEDS are:

- a. Documents remain in the new documents folder.
- b. Case documents are currently Checked Out.
- c. Case isn't 60 days old (unless Closing Code is 03, 04, 05 or 30).
- d. Payment status not updated to "Correct" or "Verified".
- e. Model Plan Type has been specified as "M- Master/Prototype" or "V- Volume Submitter" but the Volume Submitter or Prototype Letter Serial Number are blank.

(5) The case won't close if the following required fields aren't completed:

- Closing Code.
- Request Type (blank for Form 5316).
- Case Grade.
- Plan Year End (blank for Form 5316).
- Plan Effective Date (blank for Form 5310).
- New Law Indicator (blank for Form 5316).
- Vesting Formula Code (blank for Form 5310 & 5316).
- Termination Reason Code (Form 5310 only).
- Plan Termination Date (Form 5310 only).
- Benefit Type (blank for Form 5316).
- Entity Type (blank for Form 5316).

7.15.7.7
(09-08-2014)

TEDS and EDS System Updates

- (1) The two determination letter computer systems, TEDS and EDS, work as partners.
- (2) After you finish working a TEDS case, enter closing information. The case is then ready to update to status 74PC for Proposed Closing. TEDS also updates the case record in EDS with the following information:
 - The current case status (status 74 - For Managerial Review or 74PC - Proposed Closure).
 - Any updated entity information.
 - Closing data such as law indicator, vesting code, total time on case, etc.
- (3) When a case is updated to status 74 or 74PC, the status update is reflected in the manager's case inventory. An inbox notification is also sent to the manager. See Exhibit 7.15.7-34, Manager's Inbox Notification.
- (4) When the manager receives a status update for an assigned case and reviews the case, the manager can:
 - Update the case for closure.
 - Update the case to another open status on TEDS (e.g., status 64, Returned to Technical Screener or status 61, Unassign Case, Technical Screening).

7.15.7.8
(09-08-2014)

Request for Manager Review

- (1) When the status of one or more cases is updated to the manager, TEDS sends a notification to the manager. See Exhibit 7.15.7-34, Manager's Inbox Notification. The notification can be titled either of the following:
 - Request Manager Review.
 - Request Proposed Closure.

- (2) When the specialist updates the status of one or more cases to the manager, the status update will also be reflected for these cases in the manager's My Cases cabinet. The My Cases cabinet will contain all cases that belong to the group regardless of the case status.
- (3) The manager can update a single case or multiple cases for further processing. After the case(s) have been selected, the remaining steps are the same.
- (4) To update a single case:

Step	Action
1.	Open the case to the case level view.
2.	Click File.
3.	Click Change Status (or highlight the case information line then right click on the case information line and select Change Status from the dialog box).
4.	Select desired status and click OK to complete.

- (5) To update multiple cases:

Step	Action
1.	Click My Cases and highlight the case line of each case to be updated.
2.	Click File.
3.	Click Change Status (or right click on one of the case lines and select Change Status from the dialog box).
4.	Select desired status and click OK to complete.

- (6) Depending on the current status of the case, using a drop down menu, the manager can choose any of the following status codes:
 - 37 - Suspense.
 - 51 - Unassigned Inventory (Non-merit).
 - 52 - Assign to Specialist (Non-Merit).
 - 53 - Manager returned to Specialist (Non-merit).
 - 61 - Unassigned Inventory (Technical Screening).
 - 62 - Assigned to Technical Screener.
 - 64 - Manager Returned Technical Screening Case to Specialist.
 - 71 - Unassigned Inventory – Accelerated Processing.
 - 72 - Assigned to Specialist – Accelerated Processing.
 - 73 - Manager Returned to Specialist – Accelerated Processing.
 - 74 - For Managerial Review.
 - 74PC - For Proposed Closure.
 - 75 - Unassigned Inventory in Group.

7.15.7.9
(09-08-2014)

Confirming Selected Status

- (1) Status updates that involve case assignment, unassignment, or reassignment may require that the manager designate a recipient similar to the case assignment process.
- (2) On the confirmation screen, verify the desired action and click OK to complete the action or Cancel to abort the action.
- (3) If the case couldn't update, TEDS alerts the manager that the status change couldn't be completed and identifies the reason. The manager has the discretion to resolve the issue or to return the case to the specialist for resolution. See Exhibit 7.15.7-35, TEDS Alert Cannot Update Status.
- (4) When the case status update is complete, click "Close" on the status update confirmation screen.

7.15.7.10
(09-18-2015)

Case Chronology Record

- (1) TEDS electronic Form 5464-A, EP/EO Case Chronology Record is listed as a Case Chronology Report. It is located in the Reports drop-down menu.
- (2) TEDS automatically calculates and totals all hours charged to the case by the following users:
 - Screener.
 - Specialist.
 - Reviewer.

The function "Sends update to EDS" automatically updates the hours in EDS.

- (3) TEDS creates a permanent Case Chronology Report in the nondisclosable folder when the report is exported.

7.15.7.10.1
(09-18-2015)

Automatic Case Chronology Record Updates

- (1) TEDS automatically creates a case chronology entry when:
 - a. A case is transferred from unassigned inventory to assigned inventory or transferred from agent to manager or reviewer.
 - b. There is a change in case status (even if the case isn't being transferred from one person to another).

7.15.7.10.2
(09-18-2015)

Automatic Case Chronology Record Information

- (1) Both manual case chronology entries and system-generated entries contain automatically entered information. TEDS enters the following information for all entries:
 - a. Current date and time stamp.
 - b. Current status code.
 - c. Employee name (Last Name, First Name) and SEID (or System if entry is a system generated).
 - d. Activity (if entry is system generated).

7.15.7.10.3
(09-18-2015)

Manual Case Chronology Record Entries

- (1) These TEDS users can make manual entries:
 - Case owner(s).
 - Non-case owner.
 - Recipients of routing slips.
- (2) TEDS automatically stamps the date and time of creation on a manually generated chronology entry. The user also enters the following:

- a. The user's role. (Selected from a drop-down menu).
- b. A brief description of the entry.
- c. An activity code. (Selected from a drop-down menu).
- d. The amount of time it took to perform the activity. (Only available to a case owner or recipient of a routing slip).

7.15.7.10.4
(09-18-2015)
**Creating a Case
Chronology Record
Entry**

- (1) To create a case chronology entry perform the following steps:

Step	Action
1.	From the case main screen, select the Case Chronology folder by double clicking on the Case Chronology line .
2.	Click File , then from the drop-down menu select Create Case Chronology Entry .
3.	Complete the appropriate fields using the drop-down menus.
4.	Click Finish when done.

See Exhibit 7.15.7-36, Case Chronology Folder, Exhibit 7.15.7-37, Create Case Chronology and Exhibit 7.15.7-38, Complete Case Chronology Fields.

7.15.7.10.5
(09-18-2015)
**Case Chronology
Options**

- (1) Select Screener, Specialist, or Reviewer to enter time on a case. If Other is selected, the time won't be added to the total time on a case.
- (2) Select multiple activity descriptions by holding the CTRL key while selecting the appropriate activities. All selected activities are shown on the case chronology report.
- (3) All follow-up dates you enter are listed in the Case Chronology Folder. The **My Cases** screen, within **Case Information**, shows the earliest open follow-up date.
- (4) The **Awaiting Information (AI)** box allows the user to know that a response for information is outstanding. See IRM 7.15.1, Employee Plans TEDS User Manual, Employee Plans User Manual Introduction.
- (5) The sub-status remains until the box is:
 - Unchecked.
 - New documents are scanned into the case folder.
 - There is a status change.

7.15.7.10.6
(09-18-2015)
**Completing a Follow-up
or Editing an Entry**

- (1) You can easily make changes or corrections to the case chronology entries on cases in your inventory. The case chronology will display both the time and date of the original entry as well as the time and date of the most recent modification.

Note: Once a case has been closed in status 21, 57, or 59, only the records manager can change an entry.

7.15.7.10.7
(09-18-2015)

Correcting a Chronology Entry

- (1) To correct a case chronology entry follow these steps:

Step	Action
1.	Access the case which needs to be edited or corrected and double click the Case Chronology link.
2.	Select the entry to edit by clicking on the blue button to the left of the entry, the case chronology window will open as a smaller sub window. The user can also highlight the case chronology entry then right click on the entry line and select properties from the dialog box. Case chronology entries are listed in the order created.
3.	The existing information will appear on the case chronology entry screen. Modify the information as needed. If a follow-up has been completed, check the Follow-up Complete box.
4.	Click OK to accept changes.

- (2) See Exhibit 7.15.7-39, Accessing an Existing Case Chronology Entry and Exhibit 7.15.7-40, Accessing an Existing Case Chronology Entry - Using Properties.

7.15.7.10.8
(09-18-2015)

Editing Case Chronology Activities

- (1) To edit activities listed on a case chronology entry follow these steps:

Step	Action
1.	Access the case chronology entry.
2.	Select Edit next to the Activity description.
3.	Highlight the desired activity.
4.	Use the Add or Remove buttons to make the desired corrections.
5.	Click OK when completed or Cancel to abort activity changes.

See Exhibit 7.15.7-41, Select Activity: Edit and Exhibit 7.15.7-42, Add or Remove Activities From Case Chronology Report.

7.15.7.10.9
(09-18-2015)
Correcting Time on a Case Chronology Entry

- (1) The time on the case chronology must match the total time on the Case Information “Entity Date Tab” or the total tracked time charged to the case. See Exhibit 7.15.7-43, Total Time on Entity Data Tab, Exhibit 7.15.7-44, Case Chronology Folder and Exhibit 7.15.7-45, Case Chronology Report Entry with Missing Role.
- (2) If the current role wasn’t specified or Other was selected use these steps to correct the time:

Step	Action
1.	Locate the incorrect entry.
2.	Select the correct role.
3.	Click OK to update the entry.

7.15.7.11
(09-18-2015)
Case Chronology Report

- (1) You can create, view and print a listing of all case chronology entries in a report format.
- (2) To create a case chronology report:

Step	Action
1.	Open the case to the case main screen. You can only access the case chronology report from the highest level of the case folder.
2.	Click Reports on the gray bar menu.
3.	Select Case Chronology Report from the menu and the report will display.

See Exhibit 7.15.7-46, Creating a Case Chronology Report.

7.15.7.11.1
(09-18-2015)
Exporting the Case Chronology Report

- (1) Prior to updating the case to status 74, you must export the case chronology report into the Non-disclosable folder.
- (2) Exporting the case chronology report creates a Word document that can be used electronically or manually.
- (3) The exported case chronology report contains the same information as the screen-generated report but displays it in a different format.
- (4) You can make additional chronology entries after the report is created but will need to generate a new report to reflect new entries and information.
- (5) To export the Case Chronology Report:

Step	Action
1.	From the open Case Chronology Report Click “ Export to Word ”..

Step	Action
2.	After the export confirmation screen displays, click the Close button. This will return you to the Case Level View.

See Exhibit 7.15.7-47, EP Case Chronology Report and Record.

Note: The specialist can export case chronology reports to Word after the case is in status 74 or 74PC. However, the specialist won't see the case chronology report in the non-disclosable folder. The manager (case owner) will be able to view the case chronology reports the specialist exports to Word after the case is in status 74 or 74PC.

7.15.7.11.2
(09-18-2015)
**Printing a Case
Chronology Report**

- (1) To print the exported case chronology report (Word document):
 - a. Open the Word document.
 - b. Use any Word print option.

Exhibit 7.15.7-1 (07-19-2013)
Select Cases for Assignment

Select Cases for Assignment

Search Results

350+ Criteria: SELECT * FROM teds_ep_case WHERE [current_status contains '61'] Current time: July 09, 2014 04:03:02 PM EDT
 Results for "61" in TEDS - 7/9/2014 2:41 PM

Name	Applicant Name	Case Number	EIN	EDS Case Number	Control Date	Expedite Reason Code	Status	Event Code	Closing Code
Case Information	SANDERSON TOWING	EP-2007290-000017	66-8997084		9/5/2007 12:00 AM	000 Not expedited	61		
Case Information	MAGIC SHOP DEFINED BENEFIT PLAN	EP-2007290-000004	66-8995019		9/5/2007 12:00 AM	000 Not expedited	61		
Case Information	NUMERO UNO INC	EP-2008080-000065	54-9997095	438080114	1/10/2008 12:00 AM	000 Not expedited	61	EA	
Case Information	NUMERO UNO INC	EP-2008080-000053	54-9997095	438080115	1/10/2008 12:00 AM	000 Not expedited	61	UF	
Case Information	FIELDSTONE COLORADO CORPORATION	EP-2008220-000001	38-3350417	438220025	1/31/2008 12:00 AM	000 Not expedited	61	EA	
Case Information	AQ PLAN CO	EP-2011158-000001	84-1110043	431158000	2/28/2008 12:00 AM	000 Not expedited	61	EA	
Case Information	DUAL SLANT 4 REPAIR	EP-2008219-000055	53-8887081	438220020	3/5/2008 12:00 AM	000 Not expedited	61	EA	
Case Information	FOSTER FABRICATION	EP-2008282-000044	53-8897085		3/21/2008 12:00 AM	000 Not expedited	61		
Case Information	ANCHORAGE FABRICATION	EP-2008309-000061	53-0897085	458310011	3/21/2008 12:00 AM	000 Not expedited	61	EA	
Case Information	ALEUTIANS AUTO REPAIRS	EP-2008309-000062	53-0897081	438310019	3/21/2008 12:00 AM	000 Not expedited	61	EA	
Case Information	GRAMBLING HOT HOLDINGS & SHIPPING	EP-2008282-000045	53-8897076		3/21/2008 12:00 AM	000 Not expedited	61		
Case Information	ST MATHEWS LOCAL 694 ACCOUNTS	EP-2008219-000040	53-8884080	438220009	5/29/2008 12:00 AM	000 Not expedited	61	EA	
Case Information	WHITE LIGHTNING RAILWAYS	EP-2008219-000030	53-8884002	438220042	5/31/2008 12:00 AM	000 Not expedited	61	EA	
Case Information	LORIS CHICKEN	EP-2008175-000048	99-9999048	438175048	6/19/2008 12:00 AM	000 Not expedited	61		

Exhibit 7.15.7-2 (07-19-2013)
Change Status File Option

Change Status File Option

The screenshot displays the TEDS software interface. On the left is a navigation tree with items like 'Inbox', 'Saved Searches', 'My Cases', 'Cabinets', 'Reports', and 'Recently Viewed'. The main window has a menu bar with 'File', 'Edit', 'View', 'Tools', 'Reports', and 'Role Delegation'. The 'File' menu is open, showing options such as 'Change Status', 'Create Case Chronology Entry', 'Save As...', 'Check In', 'Check Out', 'Cancel Checkout', 'Export', 'Delete', 'Help', 'About Webtop', and 'Logout'. Below the menu, a table lists case information. The table has columns for Case Number, EIN, EDS Case Number, Control Date, Expedite Reason Code, Status, Event Code, and Closing Code. The data rows include cases for FIELDSTONE COLORADO CORPORATION, AQ PLAN CO, DUAL SLANT 4 REPAIR, FOSTER FABRICATION, ANCHORAGE FABRICATION, ALEUTIANS AUTO REPAIRS, GRAMBLING HOT HOLDINGS & SHIPPING, ST MATHEWS LOCAL 694 ACCOUNTS, WHITE LIGHTNING RAILWAYS, and LORIS CHICKEN.

Case Number	EIN	EDS Case Number	Control Date	Expedite Reason Code	Status	Event Code	Closing Code
EP-2007290-000017	66-8997084		9/5/2007 12:00 AM	000 Not expedited	61		
BENEFIT PLAN EP-2007290-000004	66-8995019		9/5/2007 12:00 AM	000 Not expedited	61		
EP-2008080-000065	54-9997095	438080114	1/10/2008 12:00 AM	000 Not expedited	61	EA	
EP-2008080-000053	54-9997095	438080115	1/10/2008 12:00 AM	000 Not expedited	61	UF	
Case Information FIELDSTONE COLORADO CORPORATION EP-2008220-000001	38-3350417	438220025	1/31/2008 12:00 AM	000 Not expedited	61	EA	
Case Information AQ PLAN CO EP-2011158-000001	84-1110043	431158000	2/28/2008 12:00 AM	000 Not expedited	61	EA	
Case Information DUAL SLANT 4 REPAIR EP-2008219-000055	53-8887081	438220020	3/5/2008 12:00 AM	000 Not expedited	61	EA	
Case Information FOSTER FABRICATION EP-2008282-000044	53-8897085		3/21/2008 12:00 AM	000 Not expedited	61		
Case Information ANCHORAGE FABRICATION EP-2008309-000061	53-0897085	458310011	3/21/2008 12:00 AM	000 Not expedited	61	EA	
Case Information ALEUTIANS AUTO REPAIRS EP-2008309-000062	53-0897081	438310019	3/21/2008 12:00 AM	000 Not expedited	61	EA	
Case Information GRAMBLING HOT HOLDINGS & SHIPPING EP-2008282-000045	53-8897076		3/21/2008 12:00 AM	000 Not expedited	61		
Case Information ST MATHEWS LOCAL 694 ACCOUNTS EP-2008219-000040	53-8884080	438220009	5/29/2008 12:00 AM	000 Not expedited	61	EA	
Case Information WHITE LIGHTNING RAILWAYS EP-2008219-000030	53-8884002	438220042	5/31/2008 12:00 AM	000 Not expedited	61	EA	
Case Information LORIS CHICKEN EP-2008175-000048	99-9999048	438175048	6/19/2008 12:00 AM	000 Not expedited	61		

Exhibit 7.15.7-3 (07-19-2013)
 Select Status Screen

Select Status Screen

Select Status Change:

Select Status

- Select Status
- 37--Suspend
- 75/52--Assign Case (Non-Merit)
- 75/72--Assign to Technical Screener (AP/IP)

Status - Press enter after selection to navigate

List of Valid Cases for Status Change

Case Number	Expedite Reason	Received Date	Applicant Name	EIN	Lead Plan Ein	Control Date	Plan Category
EP-2008175-000026	000 Not expedited	6/19/2008 12:00 AM	LORIS CHICKEN	99-9999026		6/19/2008 12:00 AM	
EP-2008175-000030	000 Not expedited	6/19/2008 12:00 AM	LORIS CHICKEN	99-9999030		6/19/2008 12:00 AM	
EP-2008175-000032	000 Not expedited	6/19/2008 12:00 AM	LORIS CHICKEN	99-9999032		6/19/2008 12:00 AM	
EP-2008175-000033	000 Not expedited	6/19/2008 12:00 AM	LORIS CHICKEN	99-9999033		6/19/2008 12:00 AM	
EP-2008175-000034	000 Not expedited	6/19/2008 12:00 AM	LORIS CHICKEN	99-9999034		6/19/2008 12:00 AM	
EP-2008175-000035	000 Not expedited	6/19/2008 12:00 AM	LORIS CHICKEN	99-9999035		6/19/2008 12:00 AM	
EP-2008175-000036	000 Not expedited	6/19/2008 12:00 AM	LORIS CHICKEN	99-9999036		6/19/2008 12:00 AM	

Expedite Reason Code	Status	Event Code	Closing Code	Date
Not expedited	61			
Not expedited	61			
Not expedited	61			
Not expedited	61			
Not expedited	61			
Not expedited	61			
Not expedited	61			
Not expedited	61			
Not expedited	61			
Not expedited	61	EA	06	
Not expedited	61			
Not expedited	61			
Not expedited	61			
Not expedited	61			
Not expedited	61			

Exhibit 7.15.7-4 (07-19-2013)
Assign Case Screen

Assign Case Screen

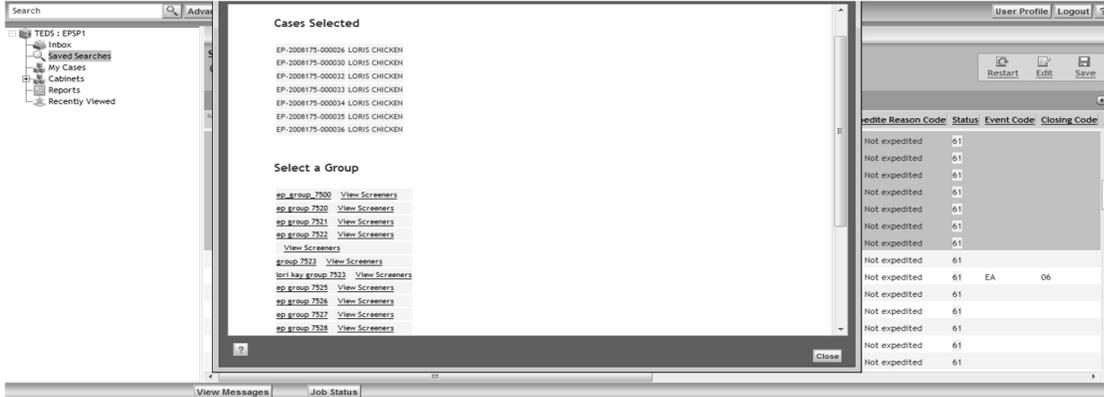


Exhibit 7.15.7-5 (07-19-2013)
Select Case for Transfer or Reassignment

Select Case for Transfer or Reassignment

The screenshot shows a software interface with a menu on the left and a table of cases on the right. The menu includes options like 'Change Status', 'Change Case', 'Routine Case Troubleshooting', etc. The table lists cases with columns for ID, date, and status.

Case ID	Date	Status
EP-2012034-000002	14-1110003 432046021	3/1/2015 12:00 AM 000 Not expedited 62
EP-2014080-000037	20-0000191 434085737	12/9/2013 12:00 AM 000 Not expedited 62
EP-2011109-000001	11-8880555 421110000	4/19/2011 12:00 AM 000 Not expedited 62
EP-2011020-000031	84-8884041 451020005	2/4/2011 12:00 AM 000 Not expedited 62
EP-2010176-000042	63-3331043 430215045	2/20/2010 12:00 AM 000 Not expedited 62 EA
EP-2010033-000022	15-3456789 420033005	1/28/2010 12:00 AM 000 Not expedited 62 RT 06
EP-2010033-000020	12-3456789 460033002	1/28/2010 12:00 AM 000 Not expedited 62 EB
EP-2010190-000006	64-8884037 410215010	5/1/2010 12:00 AM 000 Not expedited 62 EA
EP-2010189-000042	64-8887007 450215017	5/1/2010 12:00 AM 000 Not expedited 62 EA
EP-2010105-000007	53-3331016 400111003	2/24/2010 12:00 AM 000 Not expedited 62 EA
EP-2010176-000048	63-3331016 470215006	2/20/2010 12:00 AM 000 Not expedited 62 RS
EP-2009140-000015	53-5667081 439141000	5/2/2009 12:00 AM 000 Not expedited 62 AS
EP-2009092-000009	54-8667025 469092002	4/1/2009 12:00 AM 000 Not expedited 62 EA
EP-2009092-000007	55-8660002 429092003	4/1/2009 12:00 AM 000 Not expedited 62 EA
EP-2009092-000008	55-8660003 469092001	4/1/2009 12:00 AM 000 Not expedited 62 EA
EP-2009141-000006	53-5667076 439141003	5/3/2009 12:00 AM 000 Not expedited 62 AS
EP-2009141-000018	53-5667081 469141004	5/2/2009 12:00 AM 000 Not expedited 62 EA
EP-2009141-000017	53-8887006 429141000	5/2/2009 12:00 AM 000 Not expedited 62 EA
EP-2009141-000013	53-5667030 469141001	5/2/2009 12:00 AM 000 Not expedited 62 EA

Exhibit 7.15.7-6 (07-19-2013)
Select Desired Action

Select Desired Action

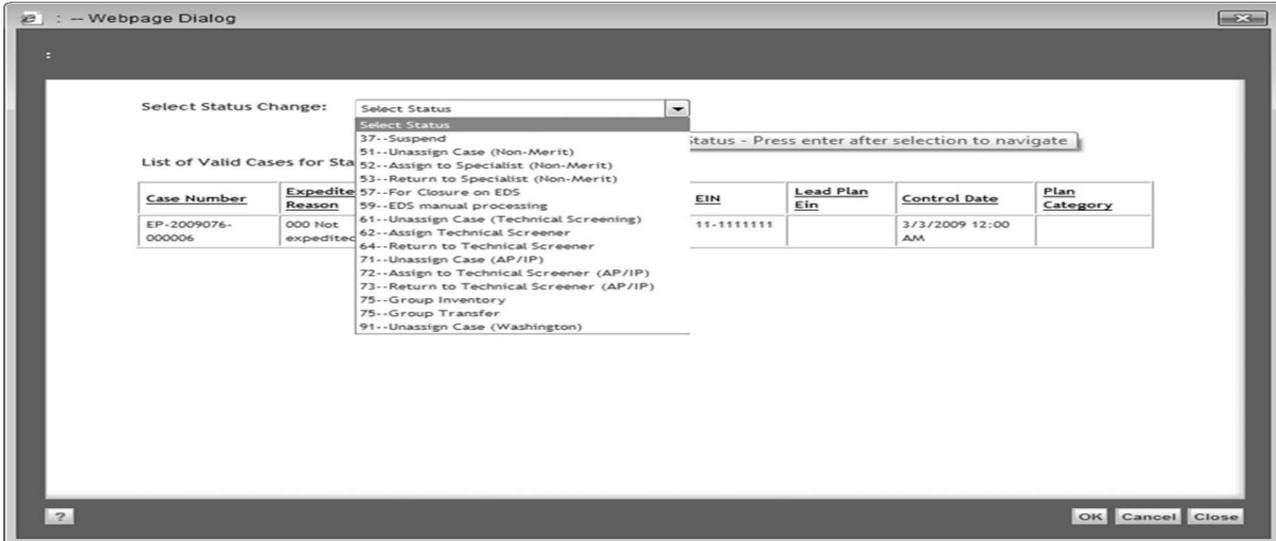


Exhibit 7.15.7-7 (09-08-2014)
Case Folder Level

Case Folder Level

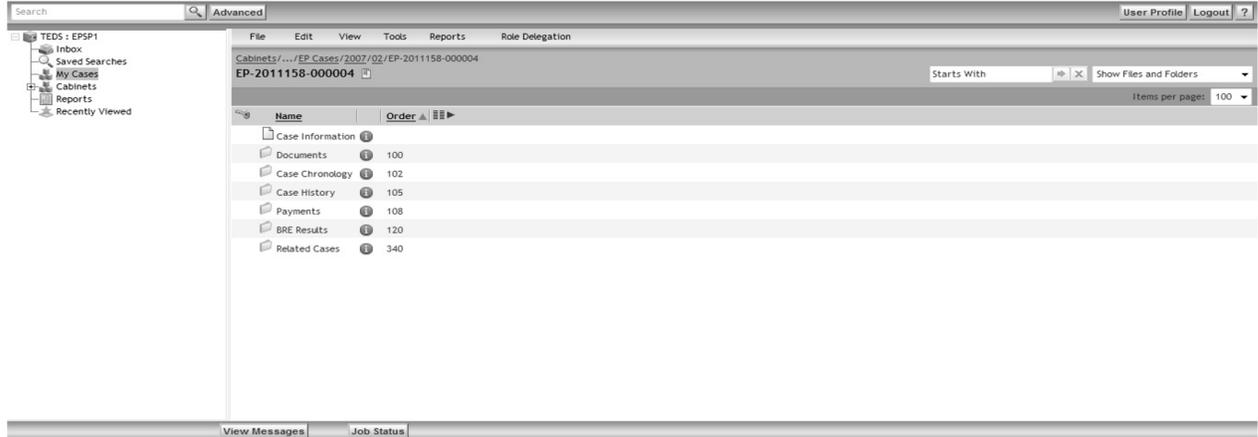


Exhibit 7.15.7-8 (09-08-2014)
Change Case

Change Case

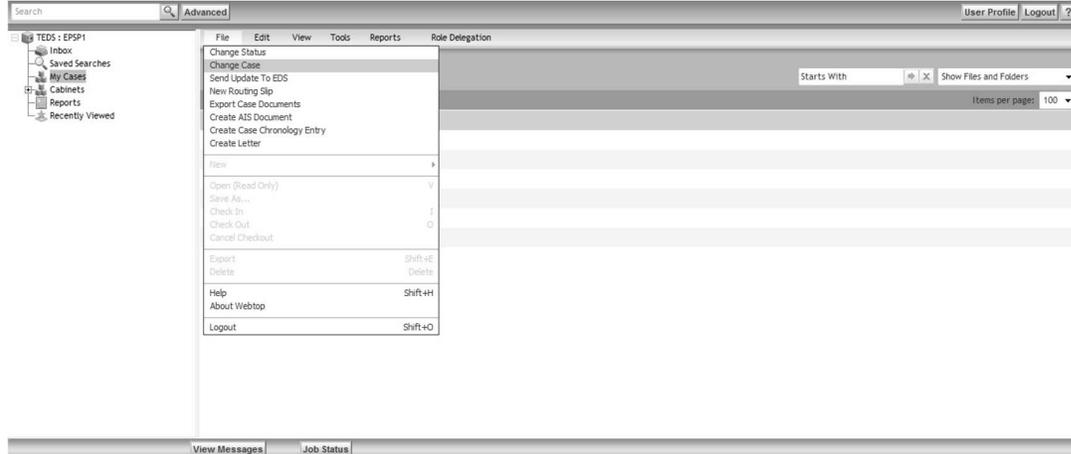


Exhibit 7.15.7-9 (09-08-2014)
Modify Entity Information

Modify Entity Information

Select Case Change:

Select Case:

Case Number	Expedite Reason	Received Date	Applicant Name	EIN
EP-2011158-000004	000 Not expedited	2/25/2007 12:00 AM	AP PLAN CO	84-1110042

User Profile Logout ?

Files and Folders

Items per page: 100

View Messages Job Sta ?

OK Cancel Close

Exhibit 7.15.7-10 (09-08-2014)
Modify Entity Information Screen

Modify Entity Information Screen

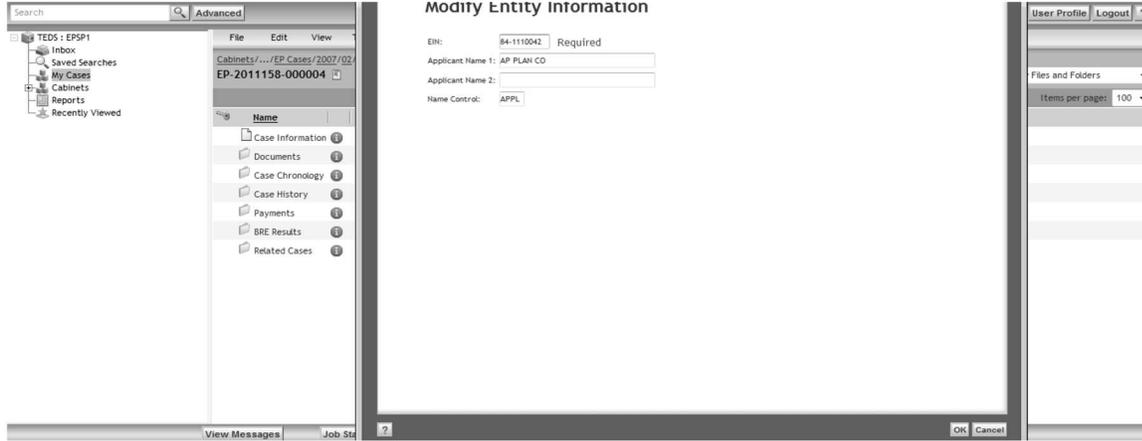


Exhibit 7.15.7-11 (09-08-2014)
Send Update to EDS

Send Update to EDS

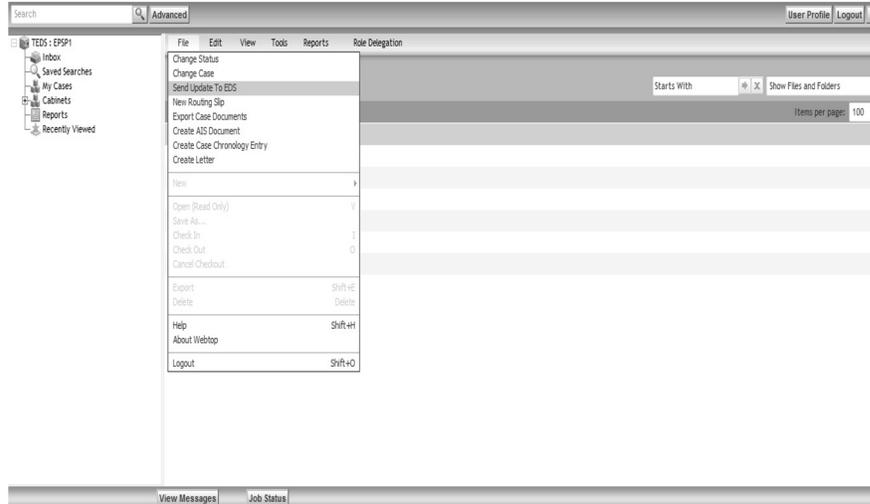


Exhibit 7.15.7-12 (09-08-2014)
Make Case Disclosable/Confirmation

Make Case Disclosable/Confirmation

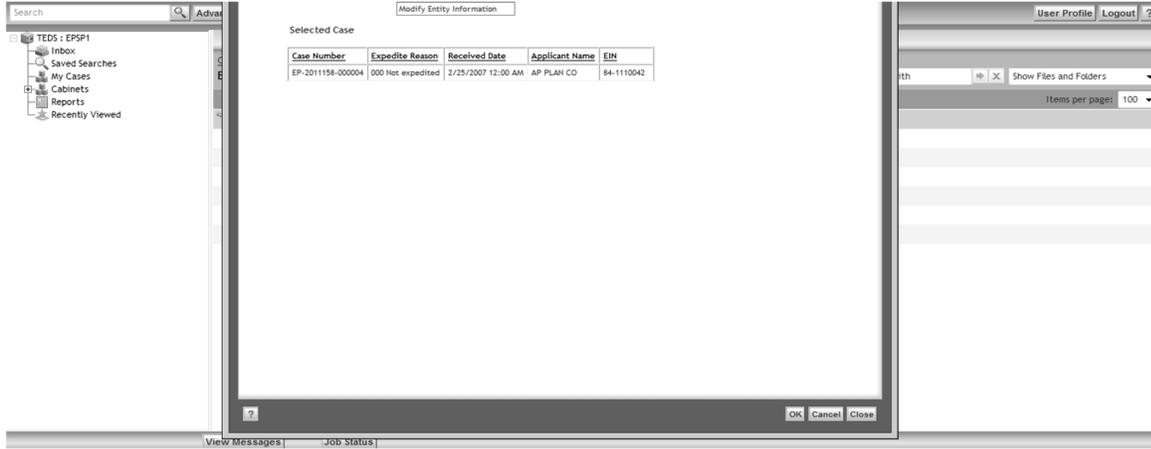


Exhibit 7.15.7-13 (09-08-2014)

Accessing Case Information From the Case Information View

Accessing Case Information From the Case Information View

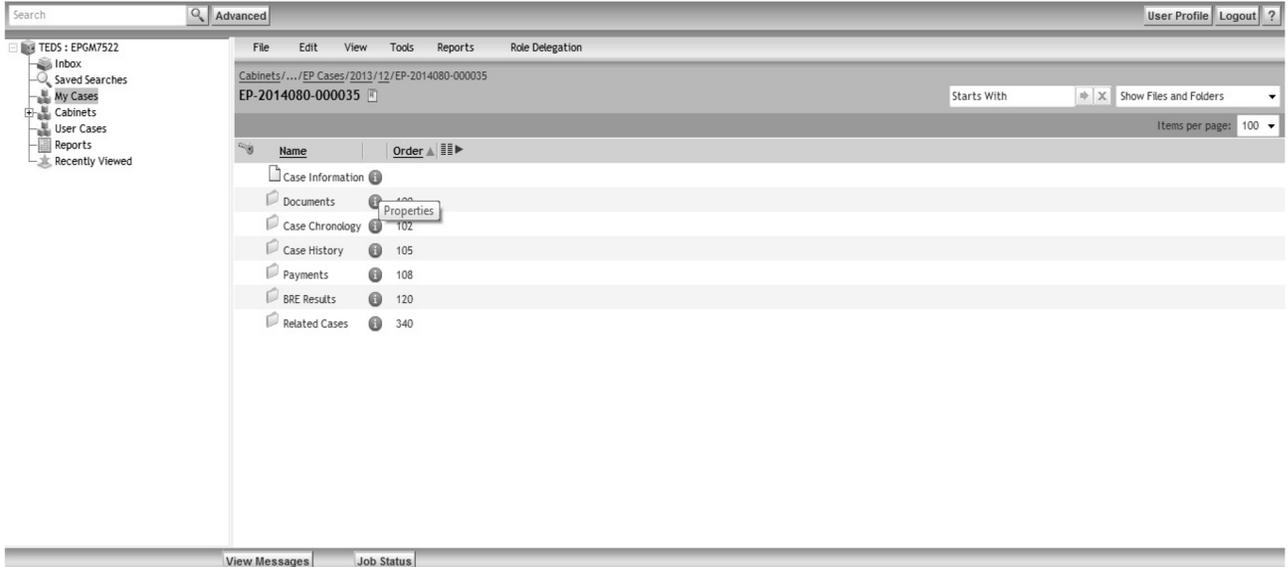


Exhibit 7.15.7-14 (09-08-2014)

Accessing Case Information From the My Cases View or Search Results

Accessing Case Information From the My Cases View or Search Results

Case Information	Company Name	Case ID	Date	Status	Other
Case Information	FRANKS AUTO	EP-2010176-000108 63-3331103 430215005	5/3/2010 12:00 AM	000 Not expedited	52 EA 06
Case Information	MONGO INC	EP-2010182-000012 53-3331120 430215129	5/7/2010 12:00 AM	000 Not expedited	72BR EA 13
Case Information	ERIE REPAIR	EP-2010182-000020 53-3331119 430215135	5/7/2010 12:00 AM	000 Not expedited	74AD EA 06
Case Information	ERIE REPAIR	EP-2010188-000038 53-3331019 430215172	5/10/2010 12:00 AM	000 Not expedited	72BR EA 13
Case Information	LANDER	EP-2010189-000001 65-8880030 410215002	6/18/2010 12:00 AM	000 Not expedited	74PC EA 06
Case Information	HOODGES INC	EP-2010189-000010 98-8888888 420189002	6/18/2010 12:00 AM	000 Not expedited	52 EA
Case Information	CEVER CO	EP-2011138-000001 84-7777777 431138000	5/15/2011 12:00 AM	000 Not expedited	52 EA 00
Case Information	LAMP	EP-2011138-000002 83-1120009 411138000	5/15/2011 12:00 AM	000 Not expedited	72 EA
Case Information	MARONED PONY CO	EP-2011138-000003 83-1120004 421138000	5/15/2011 12:00 AM	000 Not expedited	72 EA 06
Case Information	DUAL SLANT 4	EP-2012108-000015 53-4441001 432108065	2/20/2012 12:00 AM	000 Not expedited	72 EB 13
Case Information	CHEYNEY LANES	EP-2014080-000025 65-8880003 464084002	9/9/2013 12:00 AM	000 Not expedited	52 EA 01
Case Information	COSHOCKTON LLC	EP-2014080-000026 65-8660002 474084006	9/9/2013 12:00 AM	000 Not expedited	52 EA
Case Information	BORICUA FARMS INC	EP-2014080-000027 65-8880009 434085732	9/9/2013 12:00 AM	000 Not expedited	52 EA
Case Information	DOTS E	EP-2014080-000035 20-0000181 434085735	12/9/2013 12:00 AM	000 Not expedited	62AD
Case Information	DOTS F	EP-2014080-000037 20-0000191 434085737	12/9/2013 12:00 AM	000 Not expedited	62
Case Information	DOTS F	EP-2014080-000038 20-0000191 434085738	12/9/2013 12:00 AM	000 Not expedited	52
Case Information	TOPS A	EP-2014080-000039 20-0000021 434085739	2/14/2015 12:00 AM	000 Not expedited	62
Case Information	Properties N CO	EP-2012034-000002 14-1110003 432046021	3/1/2015 12:00 AM	000 Not expedited	62
Case Information	SPOT TT	EP-2014080-000041 20-0000191 434085741	1/28/2017 12:00 AM	000 Not expedited	62 EA

Exhibit 7.15.7-15 (09-08-2014)
Case Information: Info

Case Information: Info

The screenshot displays a web browser window with a 'Properties: Info -- Webpage Dialog' open. The dialog has several tabs: 'General Case Info.', 'Plan Info.', 'Receipt and Handling', 'Entity Data', 'Contacts', 'EP Closing Data', and 'Permissions'. The 'General Case Info.' tab is active, showing the following details:

- Case Information:** Case Number: EP-2013017-000007, EID: 55-1110001, Applicant Name: I PLAN CO AND SON, Name Control: IPLA
- DLN:** 17007016666093
- Expedite Reason Code:** 000 Not expedited
- Control Date:** Jan 25, 2013 12:00:00 AM
- Status:** 74PC
- Event Code:** EA
- Closing Code:** 00 - Approved Issue Only
- Current Status Date:** Jan 18, 2013 2:27:44 PM
- Case Owner (SEID):** EPSP1, Case Owner: Karbowski, Dick
- Group Number:** 7521
- EDS T-Number:** 31432
- Date Assigned:** Jan 18, 2013 12:45:31 PM
- Form Number:** 5300
- Request Type:** A - Amendment Application
- Plan Name:** I PLAN CO

On the right side of the browser window, there is a table with the following columns: Case ID, Status, and Count. The table lists several 'expedited' cases:

Case ID	Status	Count
expedited 62	EA	7
expedited 72BR	EA	13
expedited 52 EA	EA	5
expedited 72BR EA	EA	5
expedited 52 EA	EA	2
expedited 72BR EA	EA	5
expedited 52 EA	EA	1
expedited 52 EA	EA	4
expedited 52 EA	EA	4
expedited 74PC BR	EA	4
expedited 52 EA	EA	2
expedited 62 EA	EA	6
expedited 52 EA	EA	4
expedited 74PC EA	EA	1
expedited 52 EA	EA	4
expedited 53 EA	EA	1
expedited 52 EA	EA	1
expedited 52 EA	EA	1
expedited 62 EA	EA	1

Exhibit 7.15.7-16 (09-08-2014)
EP General Case Info. Screen

EP General Case Info. Tab

Properties: Info
General Case Info. | Plan Info. | Receipt and Handling | Entity Data | Contacts | EP Closing Data | Permissions

Case Information
Type: tedl_ep_case
Format:

Case Number: EP-2013017-000007
EIN: 55-1110001
Applicant Name: I PLAN CO AND SON
Name Control: IPLA

DLN: 1700701666093

Expedite Reason Code: 000 Not expedited
Control Date: Jan 25, 2013 12:00:00 AM

Status: 74FC
Event Code: EA
Closing Code: 00 - Approved Issue Only

Current Status Date: Jan 18, 2013 2:27:44 PM

Case Owner (SEID): EPSPI
Case Owner: Karbowski, Dick
Group Number: 7521
EDS T-Number: 31422
Date Assigned: Jan 18, 2013 12:45:31 PM
Form Number: 5300
Request Type: A - Amendment Application
Plan Name: I PLAN CO

Exhibit 7.15.7-17 (09-08-2014)
Editing Case Category

Editing Case Category

Properties: Info

General Case Info. Plan Info. Receipt and Handling Entity Data Contacts EP Closing Data Permissions

Case Owner: Karbowski, Dick
Group Number: 7521
EDS T-Number: 31432
Date Assigned: Jan 18, 2013 12:45:31 PM
Form Number: 5300
Request Type: A - Amendment Application
Plan Name: PLAN CO
Plan Number: 001
Case Grade: 12
Case Classification: Non-merit
Case Category: [Edit](#) Request after initial qualification - amended, Profit sharing, DC Plan, Multiple employer plan (5300 & 5310), Missing Plan Document, Non-Remit Payment
Closing Rule Failure Reason: [Edit](#)
Potential Duplicate Flag:
Duplicate Case Number:
EDS Case Number: 433017006
EDS Block Indicator: F
Follow Up Date:
Routing Slip Indicator: F
Pending Action:

? OK Cancel

Exhibit 7.15.7-18 (09-08-2014)
Add, Remove or Reorder Case Category

Add, Remove or Reorder Case Category

Case Category

Select from list:

- (No AC) 401(k) and 401(m) Ratio % Aggregated
- (No AC) 401(k) Ratio % Less than 70
- (No AC) 401(m) Ratio % Less than 70
- (No AC) Amended Plan Latest Favorable Letter Before 01/01/1999
- (No AC) Amended Plan More than 10 Amendments
- (No AC) Change Type of Plan
- (No AC) Designed Base Safe Harbor
- (No AC) Initial Plan signed more than 12 months after Original Effective Date. (Failed 401(b))
- (No AC) Insufficient Payment
- (No AC) Insurance Plan 412(i)
- (No AC) Missing Opinion letter or Advisory Letter
- (No AC) Missing Plan Document or Adoption Agreement
- (No AC) Missing Schedule Q (Form 8717 Checked)
- (No AC) Missing Signature on Application
- (No AC) Modifications Made

Case Category :

Request after initial qualification - amended
Profit sharing
DC Plan
Multiple employer plan (5300 & 5310)
Missing Plan Document
Non-Remit Payment

Enter Values (Repeating A...
Remove

OK Cancel

Exhibit 7.15.7-19 (09-08-2014)
EP Plan Info Tab

EP Plan Info. Tab

Case Information
Type: teds_ep_case
Format:

Case Number: EP-2013017-000007
EIN: 55-1110001
Applicant Name: I PLAN CO AND SON
Name Control: IPLA

Total Plan Participants: 6
Plan Year Ends: 12 - December
Plan Effective Date: Jan 1, 2002 12:00:00 AM
Amendment Execution Dates: Date 12:00:00 AM
Model Plan Type:
Volume Submitter Serial Number:
Prototype Letter Serial Number:
New Law Indicator: K - GUST II
Vesting Formula Code: G - Other
Termination Reason Code:
Plan Termination Date: Date 12:00:00 AM
401K Indicator: N
Form 5309:
Benefits Type: P - Profit Sharing / Safe Harbor
Reversion Indicator:

**Exhibit 7.15.7-20 (09-08-2014)
Receipt and Handling Tab**

Receipt and Handling Tab.

The screenshot shows a software window titled "Properties: Info" with several tabs: "General Case Info.", "Plan Info.", "Receipt and Handling", "Entity Data", "Contacts", "EP Closing Data", and "Permissions". The "Receipt and Handling" tab is active. The window displays the following information:

Case Information		Case Number:	EP-2013017-000007
Type:	teds_ep_case	EIN:	55-1110001
Format:		Applicant Name:	I PLAN CO AND SDH
		Name Control:	IPLA
Scan Date:	Jan 16, 2013 2:35:00 PM		
Postmark Date:	Jan 25, 2013 12:00:00 AM		
Receipt Date:	Jan 25, 2013 12:00:00 AM		
Received LINUS Date:	Jan 17, 2013 3:21:00 PM		
Verification Date:	Jan 17, 2013 12:00:00 AM		
EDS Acknowledgement Date:			
BBTS Number:	6666		
Package Number:	A666613016.010		
Scan Location:	COV001WA2886838		
Payment Status:	C - Correct		
Total Fee Paid:	0		
No User Fee Required:	<input type="checkbox"/>		
Fee Code:	F3000		
Dishonored Check Flag:	F		
Non-scannable Items:	N		

Buttons for "?", "OK", and "Cancel" are visible at the bottom of the window.

Exhibit 7.15.7-21 (09-08-2014)
Entity Data Tab

Entity Data Tab

Properties: Info

General Case Info. Plan Info. Receipt and Handling Entity Data Contacts EP Closing Data Permissions

Case Information
Type: teds_ep_case
Format:

Case Number: EP-2012017-000007
EIN: 55-1110001
Applicant Name: I PLAN CO AND SON
Name Control: IPLA

Applicant Address: 55 CANDY LANE
Applicant City: COVINGTON
Applicant State: KY
Applicant Zip: 41011
Applicant Phone Number:
Applicant Phone Extension:
Applicant Fax Number:
Applicant Foreign Address Indicator:
Applicant Foreign City:
Applicant Country:
In Care of:
Doing Business As:
Entity Type: M - Multiple Employer
Screeener Time: 5
Specialist Time: 0

OK Cancel

Exhibit 7.15.7-22 (09-08-2014)
Contacts Tab

Contacts Tab

Properties: Info

General Case Info. Plan Info. Receipt and Handling Entity Data Contacts EP Closing Data Permissions

Case Information
Type: tedi_ep_case
Format:

Case Number: EP-2013017-000007
EIN: 55-1110001
Applicant Name: I PLAN CO AND SON
Name Control: IPLA

POA 1 Firmnames:

POA 1 Name:

POA 1 Address:

POA 1 City:

POA 1 State:

POA 1 Zip:

POA 1 Country:

POA 1 Foreign Address Indicator:

POA 1 Foreign City:

POA 1 Phone Number:

POA 1 Phone Extension:

POA 1 Fax Number:

POA 1 Rep gets Copied:

POA 1 Primary POC:

POA 1 Valid POA:

? OK Cancel

Exhibit 7.15.7-23 (09-08-2014)
Import: File Screen

Import: File Screen

Import: File Selection :

Selected Files :	
	Browse...

Exhibit 7.15.7-24 (09-08-2014)
Import: Object Definition Screen

Import: Object Definition Screen

Import: Object Definition : Disclosable

File: C:\Users\NJOCB\Desktop\8717 2014.pdf

Filename: 8717 2014.pdf

Format: Acrobat PDF

Document Type: Application Form and Related Forms or Attachment

Document Name:

Document Revision:

Date Scanned: Date

Date Imported: Date

Package Number:

DLN:

Finish Cancel

Exhibit 7.15.7-25 (09-08-2014)
Document to be Moved/New Folder Destination

Document to be Moved/New Folder Destination

The screenshot shows a software interface with a menu bar (File, Edit, View, Tools, Reports, Role Delegation) and a document list table. The table has columns for Document Type, Document Name, DLN, Date Received, and Version. The document list includes items like Form 8717, Last Favorable Determination Letter, Opinion Or Adv Letter, Cover Letter, Amendments, Plan Document, Adoption Agreement, Trust Document, Other Document, Ack Notice Applicant, and AIS (Orig).

Document Type	Document Name	DLN	Date Received	Version
PM	Form 8717	17007148001031	2/25/2007 12:00 AM	1.0,CURRENT
PM	LastFavDetermLetter	17007148001031	2/25/2007 12:00 AM	1.0,CURRENT
PM	OpinionOrAdvLetter	17007148001031	2/25/2007 12:00 AM	1.0,CURRENT
PM	CoverLetter	17007148001031	2/25/2007 12:00 AM	1.0,CURRENT
PM	Amendments	17007148001031	2/25/2007 12:00 AM	1.0,CURRENT
O	PlanDocument	17007148001031	2/25/2007 12:00 AM	1.0,CURRENT
PM	AdoptionAgreement	17007148001031	2/25/2007 12:00 AM	1.0,CURRENT
PM	TrustDocument	17007148001031	2/25/2007 12:00 AM	1.0,CURRENT
PM	OtherDocument	17007148001031	2/25/2007 12:00 AM	1.0,CURRENT
PM	AckNoticeApplicant	17007148001031		1.0,CURRENT
PM	AIS(Orig)	17007148001031		1.0,CURRENT

Exhibit 7.15.7-26 (09-08-2014)
Destination Confirmation Screen

Destination Confirmation Screen

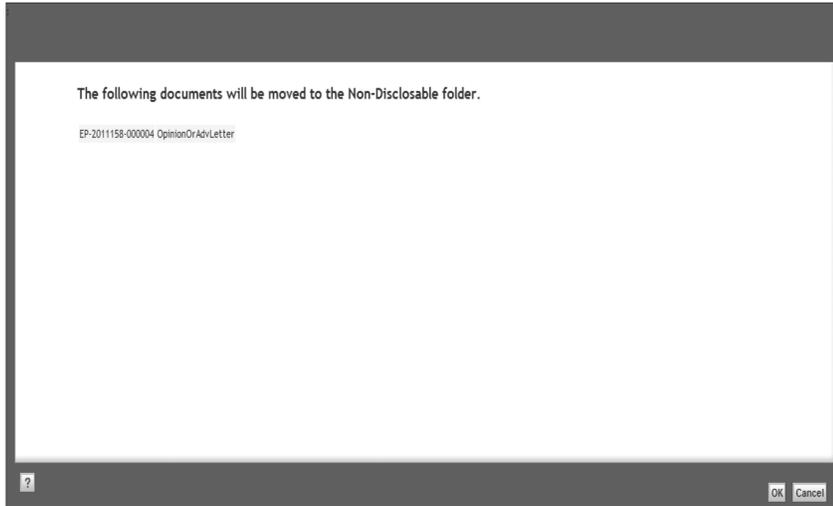


Exhibit 7.15.7-27 (09-08-2014)
Select Document for Editing/Select File Edit

Select Document for Editing/Select File Edit

The screenshot shows a web application interface with a search bar at the top left containing the text "Advanced". On the right side of the top bar, there are links for "User Profile" and "Logout". A navigation tree on the left includes "Inbox", "Saved Searches", "My Cases", "Cabinets", "Reports", and "Recently Viewed". A "File" menu is open, displaying options such as "Delete Purge Objects", "Copy Documents to Another Case", "Move to Disclosable", "Move to Non-Disclosable", "Move to New Documents", "Move to Working", "Move to Purge", "Change Document Type and Name", "New", "Edit", "Open (Read Only)", "Save As...", "Check In", "Check Out", "Cancel Checkout", "Import", "Export", "Delete", "Help", "About Webtop", and "Logout".

The main content area features a table with the following columns: Document Type, Document Name, DLN, Date Received, and Version. The table contains the following data:

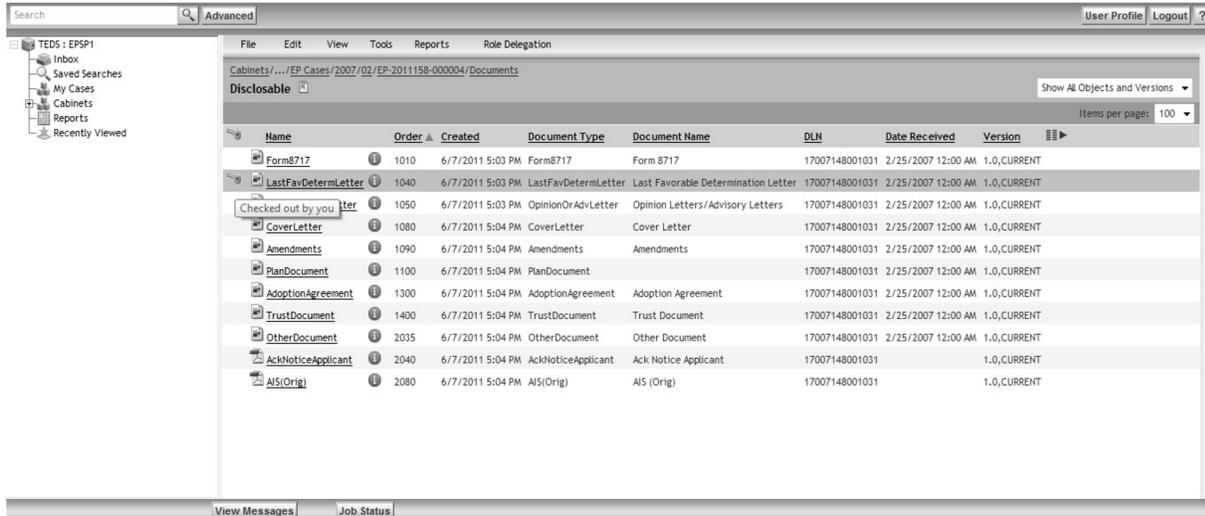
Document Type	Document Name	DLN	Date Received	Version
PM Form8717	Form 8717	17007148001031	2/25/2007 12:00 AM	1.0,CURRENT
PM LastFavDetermLetter	Last Favorable Determination Letter	17007148001031	2/25/2007 12:00 AM	1.0,CURRENT
PM OpinionOrAdvLetter	Opinion Letters/Advisory Letters	17007148001031	2/25/2007 12:00 AM	1.0,CURRENT
PM CoverLetter	Cover Letter	17007148001031	2/25/2007 12:00 AM	1.0,CURRENT
PM Amendments	Amendments	17007148001031	2/25/2007 12:00 AM	1.0,CURRENT
PM PlanDocument		17007148001031	2/25/2007 12:00 AM	1.0,CURRENT
PM AdoptionAgreement	Adoption Agreement	17007148001031	2/25/2007 12:00 AM	1.0,CURRENT
PM TrustDocument	Trust Document	17007148001031	2/25/2007 12:00 AM	1.0,CURRENT
PM OtherDocument	Other Document	17007148001031	2/25/2007 12:00 AM	1.0,CURRENT
PM AckNoticeApplicant	Ack Notice Applicant	17007148001031		1.0,CURRENT
PM AIS(Orig)	AIS (Orig)	17007148001031		1.0,CURRENT

At the bottom of the interface, there are buttons for "View Messages" and "Job Status".

Exhibit 7.15.7-28 (09-08-2014)

Checked Out Locked Document (Key Showing)

Checked Out Locked Document (Key Showing)



Name	Order	Created	Document Type	Document Name	DLN	Date Received	Version
Form8717	1010	6/7/2011 5:03 PM	Form8717	Form 8717	17007148001031	2/25/2007 12:00 AM	1.0,CURRENT
LastFavDetermLetter	1040	6/7/2011 5:03 PM	LastFavDetermLetter	Last Favorable Determination Letter	17007148001031	2/25/2007 12:00 AM	1.0,CURRENT
OpinionOrAdvLetter	1050	6/7/2011 5:03 PM	OpinionOrAdvLetter	Opinion Letters/Advisory Letters	17007148001031	2/25/2007 12:00 AM	1.0,CURRENT
CoverLetter	1080	6/7/2011 5:04 PM	CoverLetter	Cover Letter	17007148001031	2/25/2007 12:00 AM	1.0,CURRENT
Amendments	1090	6/7/2011 5:04 PM	Amendments	Amendments	17007148001031	2/25/2007 12:00 AM	1.0,CURRENT
PlanDocument	1100	6/7/2011 5:04 PM	PlanDocument		17007148001031	2/25/2007 12:00 AM	1.0,CURRENT
AdoptionAgreement	1300	6/7/2011 5:04 PM	AdoptionAgreement	Adoption Agreement	17007148001031	2/25/2007 12:00 AM	1.0,CURRENT
TrustDocument	1400	6/7/2011 5:04 PM	TrustDocument	Trust Document	17007148001031	2/25/2007 12:00 AM	1.0,CURRENT
OtherDocument	2035	6/7/2011 5:04 PM	OtherDocument	Other Document	17007148001031	2/25/2007 12:00 AM	1.0,CURRENT
AckNoticeApplicant	2040	6/7/2011 5:04 PM	AckNoticeApplicant	Ack Notice Applicant	17007148001031		1.0,CURRENT
AIS(Orig)	2080	6/7/2011 5:04 PM	AIS(Orig)	AIS (Orig)	17007148001031		1.0,CURRENT

Exhibit 7.15.7-29 (09-08-2014)
Check In Screen

Check In Screen

The screenshot shows a software interface with a search bar at the top left containing the text 'Advanced'. Below the search bar is a navigation tree for 'TEDS : EPSF1' with sub-items: 'Inbox', 'Saved Searches', 'My Cases', 'Cabinets', 'Reports', and 'Recently Viewed'. A menu is open over the 'Check In' option, listing various actions like 'Delete Purge Objects', 'Copy Documents to Another Case', 'Move to Discosable', 'Move to Non-Discosable', 'Move to New Documents', 'Move to Working', 'Move to Purge', 'Change Document Type and Name', 'New', 'Edit', 'Open (Read Only)', 'Save As...', 'Check In', 'Check Out', 'Cancel Checkout', 'Import', 'Export', 'Delete', 'Help', 'About Webtop', and 'Logout'. The main area displays a table of document records with columns: Document Type, Document Name, DLN, Date Received, and Version. The table contains 10 rows of data, with the first row highlighted. At the bottom of the window, there are buttons for 'View Messages' and 'Job Status'.

Document Type	Document Name	DLN	Date Received	Version
PM Form8717	Form 8717	17007148001031	2/25/2007 12:00 AM	1.0,CURRENT
PM LastFavDetermLetter	Last Favorable Determination Letter	17007148001031	2/25/2007 12:00 AM	1.0,CURRENT
PM OpinionOrAdvLetter	Opinion Letters/Advisory Letters	17007148001031	2/25/2007 12:00 AM	1.0,CURRENT
PM CoverLetter	Cover Letter	17007148001031	2/25/2007 12:00 AM	1.0,CURRENT
PM Amendments	Amendments	17007148001031	2/25/2007 12:00 AM	1.0,CURRENT
PM PlanDocument		17007148001031	2/25/2007 12:00 AM	1.0,CURRENT
PM AdoptionAgreement	Adoption Agreement	17007148001031	2/25/2007 12:00 AM	1.0,CURRENT
PM TrustDocument	Trust Document	17007148001031	2/25/2007 12:00 AM	1.0,CURRENT
PM OtherDocument	Other Document	17007148001031	2/25/2007 12:00 AM	1.0,CURRENT
PM AckNoticeApplicant	Ack Notice Applicant	17007148001031		1.0,CURRENT
PM AIS(Orig)	AIS (Orig)	17007148001031		1.0,CURRENT

Exhibit 7.15.7-30 (09-08-2014)
Copy Document to Another Case

Copy Document to Another Case

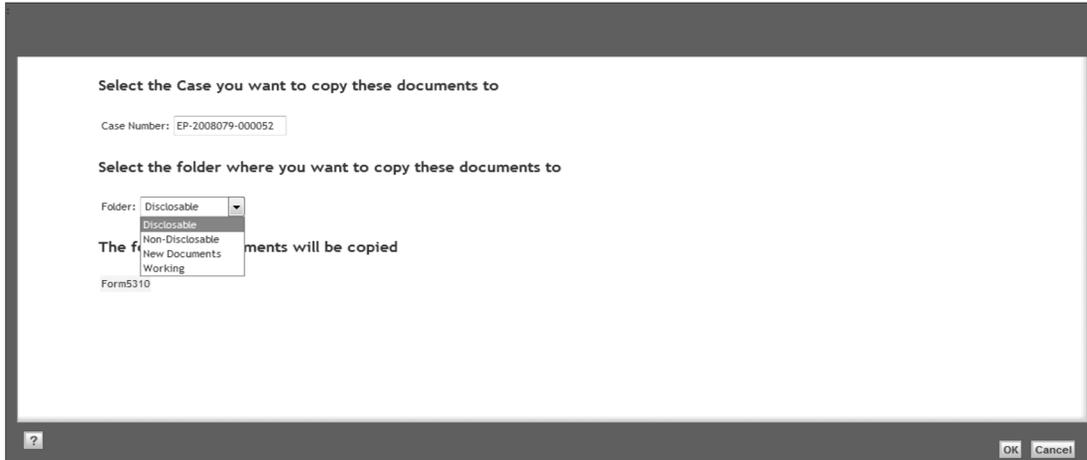


Exhibit 7.15.7-31 (09-08-2014)
Update to EDS

Update to EDS

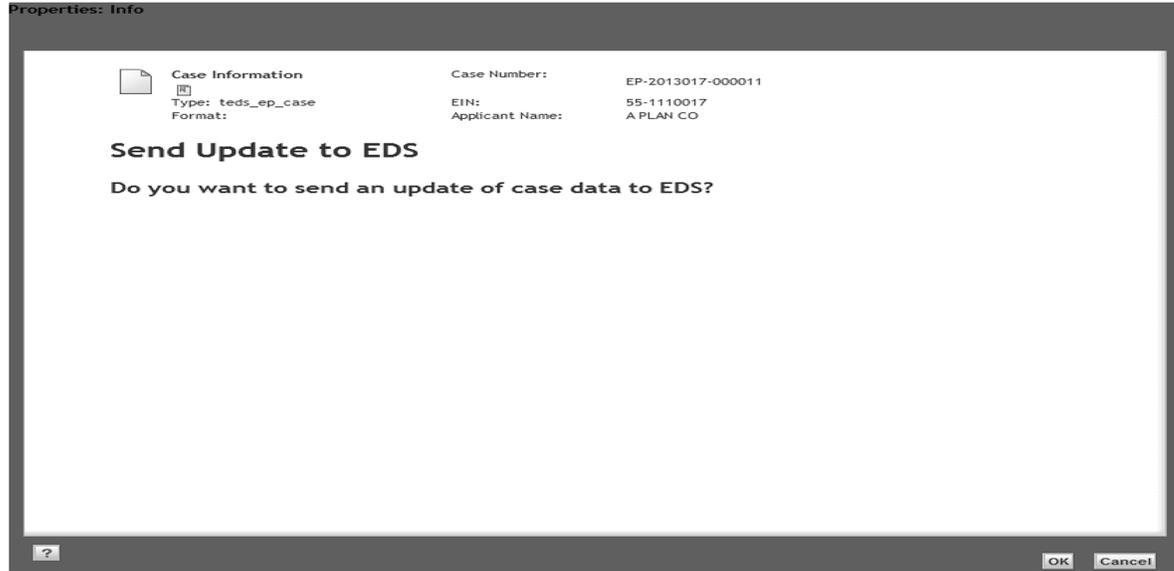


Exhibit 7.15.7-32 (09-08-2014)
Select Update Status

Select Change Status

The screenshot shows the TEDS software interface. A 'Select Change Status' window is open, displaying a menu with the following items: Change Status, Change Case, Send Update To EDS, Export Case Documents, Create AIS Document, Create Case Chronology Entry, Create Letter, Save As..., Check In, Check Out, Cancel Checkout, Export, Delete, Help, About Webtop, and Logout. The background shows a table of case data with columns for Case ID, Description, Date, Status, and User. The table contains 15 rows of data, with the last row highlighted.

Case ID	Description	Date	Status	User
EP-2013017-000026	55-1110002 433017025	1/25/2013 12:00 AM	000 Not expedited	52 EA
EP-2013017-000028	55-1110004 433017027	1/25/2013 12:00 AM	000 Not expedited	52 EA
EP-2013017-000059	55-1110006 433017058	1/25/2013 12:00 AM	000 Not expedited	62 EA
EP-2013017-000060	55-1110005 433017059	1/25/2013 12:00 AM	000 Not expedited	53 EA
EP-2013023-000001	35-1110001 433023060	1/25/2013 12:00 AM	000 Not expedited	72 EA
EP-2013023-000002	35-1110002 433023061	1/25/2013 12:00 AM	000 Not expedited	72 EA
EP-2013023-000003	35-1110003 433023062	1/25/2013 12:00 AM	000 Not expedited	72 RI
EP-2013023-000004	35-1110004 433023063	1/25/2013 12:00 AM	000 Not expedited	74PC EA 09
EP-2013023-000005	35-1110000 433023064	1/25/2013 12:00 AM	000 Not expedited	62 EB 09
EP-2013017-000034	55-1110037 433017033	1/30/2013 12:00 AM	000 Not expedited	52 EA
EP-2013017-000037	55-1110038 433017036	1/30/2013 12:00 AM	000 Not expedited	62 EA 00
EP-2013017-000040	55-1110040 433017039	1/30/2013 12:00 AM	000 Not expedited	72 EA
EP-2013017-000042	55-1110044 433017041	1/30/2013 12:00 AM	000 Not expedited	62
EP-2013017-000056	55-1110060 433017055	1/30/2013 12:00 AM	000 Not expedited	74PC EB 00
EP-2013017-000058	55-1110052 433017057	1/30/2013 12:00 AM	000 Not expedited	74PC EA 01
EP-2013017-000011	55-1110017 433017010	1/31/2013 12:00 AM	000 Not expedited	52 RV
EP-2013017-000012	55-1110018 433017011	1/31/2013 12:00 AM	000 Not expedited	52 EA
EP-2013017-000015	55-1110022 433017014	1/31/2013 12:00 AM	000 Not expedited	52 EA
EP-2013017-000027	55-1110015 433017026	1/31/2013 12:00 AM	000 Not expedited	52 EA

Exhibit 7.15.7-33 (09-08-2014)
Select Status Change Screen

Select Status Change Screen

Search Advanced

Navigation Tree:

- TEDS : EPSP1
 - Inbox
 - Saved Searches
 - My Cases
 - Cabinets
 - Reports
 - Recently Viewed

Select Status Change:

- Select Status
- 74--For Manager Review
- 74PC--For Proposed Closure

List of Valid Cases for Status Change

Case Number	Expedite Reason	Received Date	Applicant Name	EIN	Lead Plan Ein	Control Date	Plan Category
EP-2013017-000011	000 Not expedited	1/31/2013 12:00 AM	A PLAN CO	55-1110017	81-1110002	1/31/2013 12:00 AM	DB
EP-2013017-000012	000 Not expedited	1/31/2013 12:00 AM	A PLAN CO	55-1110018	81-1110002	1/31/2013 12:00 AM	DB
EP-2013017-000027	000 Not expedited	1/31/2013 12:00 AM	A PLAN CO	55-1110015	81-1110002	1/31/2013 12:00 AM	DB

Buttons: ? OK Cancel Close

User Profile | Logout | ?

d	52	EA	1	
d	52	EA	1	
d	62	EA	1	
d	53	EA	4	
d	72	EA	1	
d	72	EA	2	
d	72	RI	1	
d	74PC	EA	09	1
d	62	EB	09	4
d	52	EA	4	
d	62	EA	00	4
d	72	EA	4	
d	62		6	
d	74PC	EB	00	4
d	74PC	EA	01	2
d	52	RV	7	
d	52	EA	1	
d	52	EA	4	
d	52	EA	1	

Exhibit 7.15.7-34 (09-08-2014)
Manager's Inbox Notification

Manager's Inbox Notification

The screenshot displays a web-based interface for a Manager's Inbox Notification. At the top, there is a search bar with the text "Advanced" and buttons for "User Profile" and "Logout ?". Below the search bar is a navigation menu with options: "File", "Edit", "View", "Tools", "Reports", and "Role Delegation".

The main content area is titled "Inbox (TEDS)" and includes a "Show All (Attachments)" dropdown and a "Page 1 of 1" indicator. Below this is a table listing messages. The table has the following columns: "Subject", "From", "Date Received", "Status", and "Repository".

Subject	From	Date Received	Status	Repository
Delegated Role Canceled	TEDSdoctsvc	7/22/2010 1:18 PM		
Role Delegation in Progress	TEDSdoctsvc	7/22/2010 12:32 PM		
Role Delegation in Progress	TEDSdoctsvc	7/22/2010 12:23 PM		
Delegated Role Expiring	TEDSdoctsvc	7/22/2010 8:42 AM		
Role Delegation in Progress	TEDSdoctsvc	7/22/2010 8:36 AM		
Delegated Role Expiring	TEDSdoctsvc	7/22/2010 12:07 AM		
Delegated Role Expiring	TEDSdoctsvc	7/22/2010 12:07 AM		
Role Delegation in Progress	TEDSdoctsvc	7/22/2010 12:02 AM		
Role Delegation in Progress	TEDSdoctsvc	7/22/2010 12:02 AM		
Delegated Role Expiring	TEDSdoctsvc	7/21/2010 12:17 PM		
Role Delegation in Progress	TEDSdoctsvc	7/21/2010 12:12 PM		
Request Proposed Closure	documentumsvc	3/10/2009 8:54 AM		
Delegated Role Expiring	Request Proposed Closure	2/25/2009 12:13 AM		
Role Delegation in Progress	documentumsvc	2/25/2009 12:05 AM		
Request Proposed Closure	documentumsvc	1/27/2009 7:15 PM		
Routing Slip has been Terminated	documentumsvc	1/15/2009 9:59 AM		

At the bottom of the interface, there are buttons for "View Messages" and "Job Status".

Exhibit 7.15.7-35 (09-08-2014)
TEDS Alert Cannot Update Status

TEDS Alert Cannot Update Status

Closure on EDS

The following case(s) will be sent for Closure

Unable to close due to items checked out

Case Number	Applicant Name	Closing Message
EP-2010176-000108		Case or case documents are currently Checked Out.
EP-2010111-000037		Approved for Closure on EDS

The following case(s) will be assigned to QA

Case Number	Applicant Name	Closing Message
No Cases.		

Click OK or Cancel

OK Cancel

Exhibit 7.15.7-36 (09-18-2015)
Case Chronology Folder

Case Chronology Folder

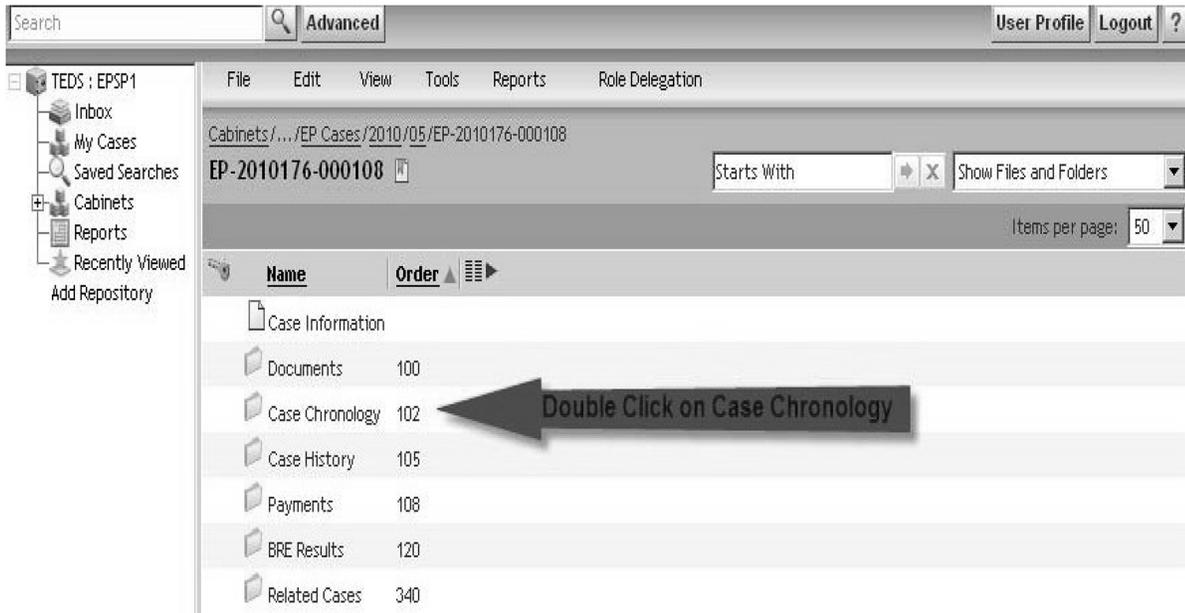


Exhibit 7.15.7-37 (09-18-2015)
Create Case Chronology

Create Case Chronology

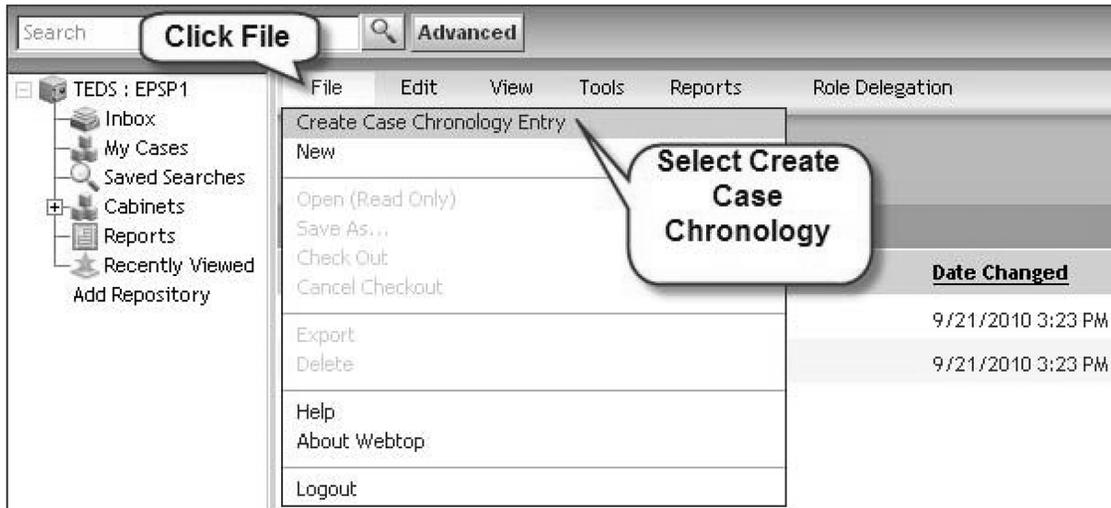


Exhibit 7.15.7-38 (09-18-2015)
Complete Case Chronology Fields

Complete Case Chronology Fields

New Document: Create

1. Create

TEDS/.../EP Cases/2010/05/EP-2010176-000108/Case Chronology
A Case Chronology will be created for Case Number: EP-2010176-000108

Date of Entry: 9/29/2010 9:29:27 AM

User ID: EPSP1

Current Role: Screener

Activity: 1 - Assign Case
2 - Review Case
3 - Request Information

Description: Research EDS & TEDS- no related plans, no prior FDL
Review case
Prepare & sent fax request for additional information

Follow-up Date: Oct 2, 2010 0:00

Follow-up Complete:

Person Contacted:

Time (nnn.nn): 1.5

Awaiting Information:

Using drop-down menus where available: enter role, activity, description, follow-up date and person contacted (if applicable), time charged, check Awaiting Information box if requesting information, and click Finish

? Finish Cancel

Exhibit 7.15.7-39 (09-18-2015)
Accessing an Existing Case Chronology Entry

Accessing an Existing Case Chronology Entry

The screenshot shows a software interface with a search bar at the top left containing 'Advanced'. Below the search bar is a navigation tree on the left with items like 'Inbox', 'My Cases', 'Saved Searches', and 'Cabinets'. The main area displays a 'Case Chronology' table. A callout box with an information icon and the text 'Click to select entry' points to the first row of the table.

	<u>Date Created</u>	<u>Activity</u>	<u>Date Changed</u>	<u>Username</u>	<u>Time</u>	<u>Follow-up Date</u>	<u>Awaiting Info</u>
i	9/21/2010 3:21 PM	1 - Assign Case	9/21/2010 3:23 PM	System	0.0		No
i	9/21/2010 3:23 PM	1 - Assign Case	9/21/2010 3:23 PM	System	0.0		No
		3 - Request Information,2 - Review					
i	9/29/2010 9:39 AM	Case	9/29/2010 9:39 AM	EPSP1	1.5	10/2/2010 12:00 AM	Yes

Exhibit 7.15.7-40 (09-18-2015)

Accessing an Existing Case Chronology Entry - Using Properties

Accessing an Existing Case Chronology Entry- using properties

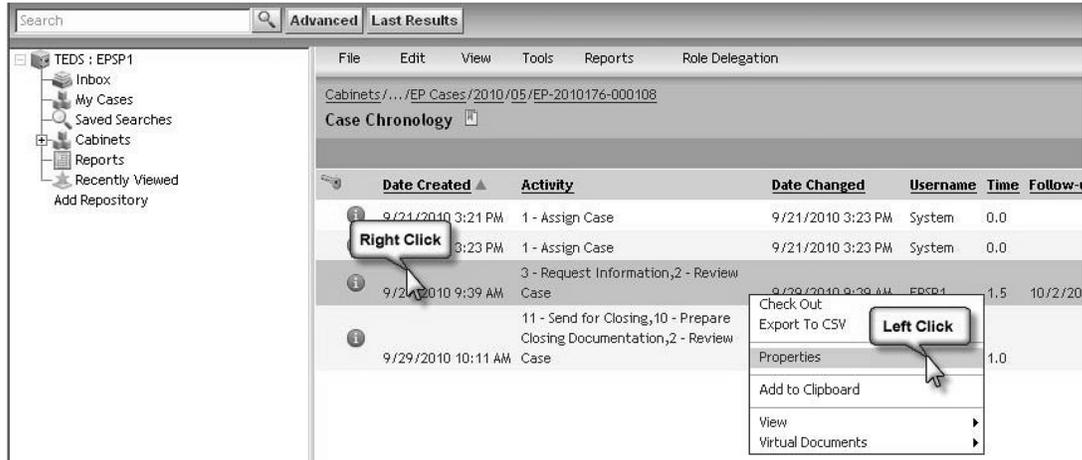


Exhibit 7.15.7-41 (09-18-2015)
Select Activity: Edit

Select Activity: Edit

Properties: Info

Info | **Permissions**

Chronology  
Type: teds_chron
Format:

Date of Entry: Sep 29, 2010 9:39:55 AM
Date of Update: Sep 29, 2010 9:39:55 AM

User ID (or System if auto-created): (EPSP1)

Current Role: Screener 

Status (at time of Entry): 62AI

Activity: Edit 2 - Review Case, 3 - Request Information

Description:
Research EDS & TEDS- no related plans, no prior FDL
Review case
Prepare & sent fax request for additional

Follow-up Date: Oct 2, 2010  12:00:00 AM

Follow-up Complete:

Person Contacted:

Time (nnn.nn): 1.5

Awaiting Information:

Exhibit 7.15.7-42 (09-18-2015)

Add or Remove Activities from Case Chronology Report

Add or Remove Activities From Case Chronology Report

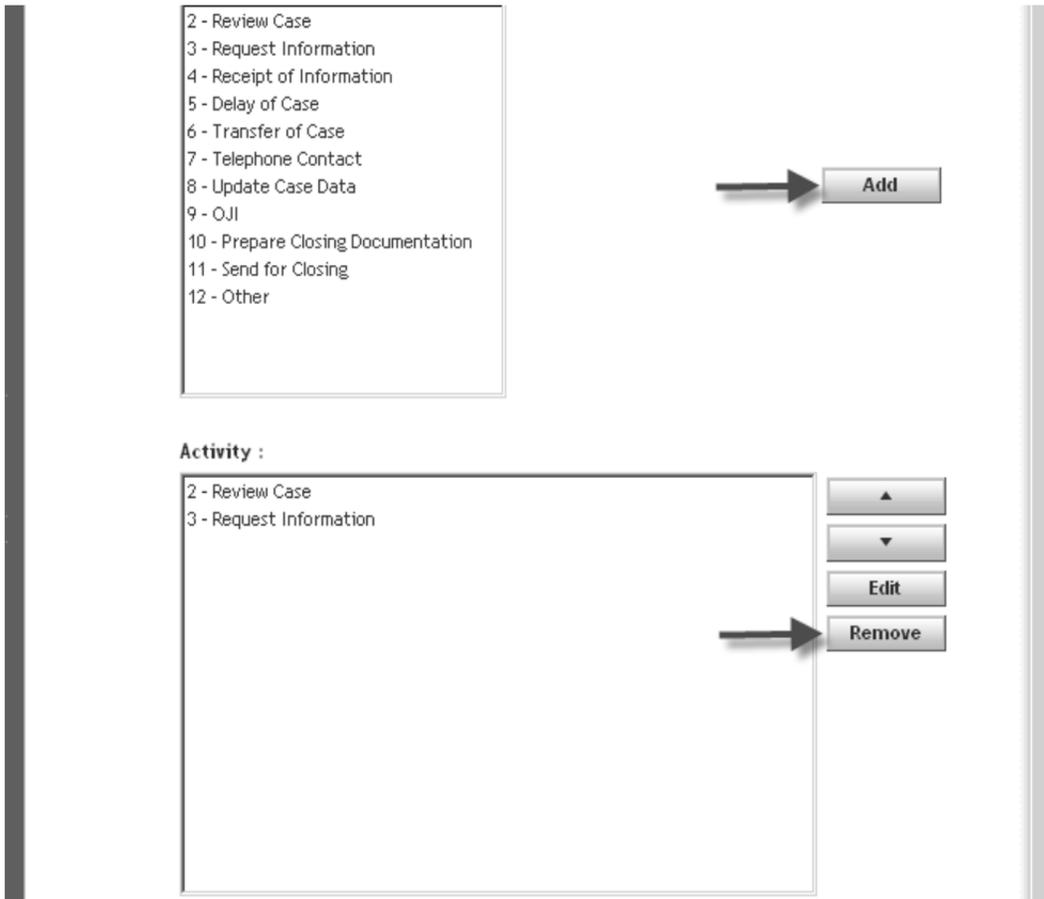


Exhibit 7.15.7-43 (09-18-2015)
Total Time - Data Entry Tab

Total Time on Data Entry Tab

The screenshot shows a software window titled "Properties: Info" with several tabs: "General Case Info.", "Plan Info.", "Receipt and Handling", "Entity Data", "Contacts", "EP Closing Data", and "Permissions". The "Entity Data" tab is selected. The main area contains the following information:

- Entity Type: O - Other
- Screener Time: 1.5
- Specialist Time: 0
- Reviewer Time: 0
- Total Time: 1.5

A callout bubble points to the "Total Time: 1.5" field with the text "Time Shows 1.5 Hours". At the bottom of the window, there is a help icon (?), "OK", and "Cancel" buttons.

Exhibit 7.15.7-44 (09-18-2015)
Case Chronology Folder

Case Chronology Folder

The screenshot shows a software interface for a Case Chronology Folder. On the left is a navigation pane with folders like 'Inbox', 'My Cases', 'Cabinets', and 'Reports'. The main area displays a table of activities. A callout box points to the 'Time' column, stating 'Entries Show total of 2.5 hours'.

Date Created	Activity	Date Changed	Username	Time	Follow-up Date	Awaiting Info
9/21/2010 3:21 PM	1 - Assign Case	9/21/2010 3:23 PM	System	0.0		No
9/21/2010 3:23 PM	1 - Assign Case	9/21/2010 3:23 PM	System	0.0		No
9/29/2010 9:39 AM	3 - Request Information,2 - Review Case	9/29/2010 9:39 AM	EPSP1	1.5	10/2/2010 12:00 AM	Yes
9/29/2010 10:11 AM	11 - Send for Closing,10 - Prepare Closing Documentation,2 - Review Case	9/29/2010 10:13 AM	EPSP1	1.0		

Exhibit 7.15.7-45 (09-18-2015)

Case Chronology Report Entry with Missing Role

Case Chronology Report Entry with Missing Role

The screenshot shows a 'Web Page Dialog' window titled 'Properties: Info'. It has two tabs: 'Info' and 'Permissions'. Under the 'Info' tab, there is a document icon labeled 'Chronology' with a small icon to its right. Below this, it says 'Type: teds_chron' and 'Format:'. The main content area contains the following fields and values:

- Date of Entry:** Sep 29, 2010 10:11:47 AM
- Date of Update:** Sep 29, 2010 10:35:46 AM
- User ID (or System if auto-created):** (EPSP1)
- Current Role:** A dropdown menu that is currently empty. A callout bubble labeled 'Missing Role Information' points to this dropdown.
- Status (at time of Entry):** 62
- Activity:** Edit 2 - Review Case, 10 - Prepare Closing Documentation, 11 - Send for Closing
- Description:** A text area containing the text: 'prepare 5621', 'import & print 5621 & CCR', and 'close case to manager'.
- Follow-up Date:** A date field set to 'Date' and a time field set to '12:00:00 AM'.
- Follow-up Complete:** An unchecked checkbox.
- Person Contacted:** An empty text input field.
- Time (nnn.nn):** A text input field containing the value '1'.
- Awaiting Information:** An unchecked checkbox.

At the bottom of the dialog, there are 'OK' and 'Cancel' buttons.

Exhibit 7.15.7-46 (09-18-2015)
Creating a Case Chronology Report

Creating a Case Chronology Report

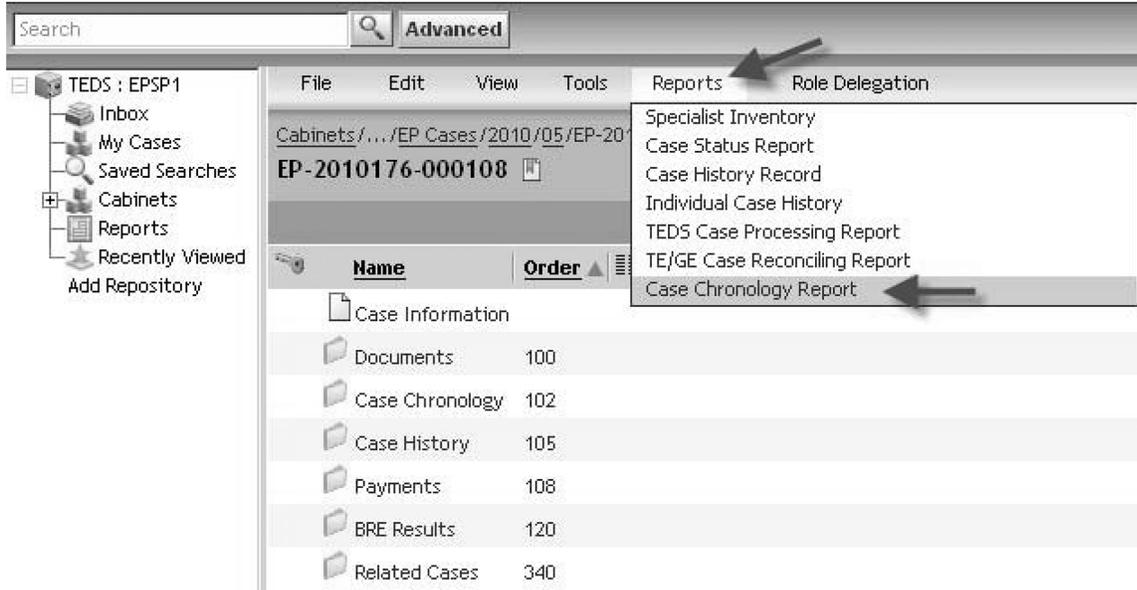


Exhibit 7.15.7-47 (09-18-2015)
 EP Case Chronology Report and Record

EP Case Chronology Report and Record

Address http://cov0010c1sbo1

Case Chronology Report

SEID/Role(s): EPSP1 (role_ep_specialist, role_ep_case_assignment, teds_base_group)
 Report Created: 09/29/2010 10:45 AM

[Export to Word](#)

Case Number	EIN	Applicant Name	Form	Type of Request	Hours	Screener's Hours	Specialist's Hours	Reviewer's Hours
EP-2010176-000108			5307	I	2.5	2.5	0	0

Actor	Role	Entry creation date	Date of last update	Activity	Description of entry	Contact	Follow-up date	Entry hours
System		9/21/2010 3:21 PM		1 - Assign Case				0.0
System		9/21/2010 3:23 PM		1 - Assign Case				0.0

Research EDS & TEDS- no related plans, no prior FDL

EP/EO Case Chronology Record

Case Number EP-2010176-000108		Applicant Name						
EIN		Screener's Hours 2.5		Specialist's Hours 0		Reviewer's Hours 0	Total Time 2.5	
Form Number 5307			Type of Request I			Date Generated 09/29/2010 10:53 AM		
Creation Date	Date Changed	Actor	Role	Activity	Person Contacted	Description	Time	Follow-up Date
9/21/2010 3:21:05 PM		System		1 - Assign Case			0	
9/21/2010 3:23:30 PM		System		1 - Assign Case			0	
9/29/2010 9:39:55 AM	9/29/2010 9:39:56 AM	(EPSP1)	Screener	3 - Request Information; 2 - Review Case		Research EDS & TEDS- no related plans, no prior FDL Review case Prepare & sent fax request for additional information	1.5	10/2/2010 12:00:00 AM
9/29/2010 10:11:47 AM	9/29/2010 10:35:46 AM	(EPSP1)	Screener	11 - Send for Closing; 10 - Prepare Closing Documentation; 2 - Review Case		prepare 5621 import & print 5621 & CCR close case to manager	1	
Activity Codes 1-Assign Case 2-Review Case 3-Request Information 4-Receipt of Information 5-Delay of Case 6-Transfer of Case 7-Telephone Contact 8-Update Case Data 9-OII 10-Prepare Closing Documentation 11-Send for Closing 12-Other				Remarks				

T

The Ep Closing Data tab contains very basic information concerning the application and Quality Assurance review requirements,.....10

