



MANUAL TRANSMITTAL

Department of the Treasury
Internal Revenue Service

7.15.7

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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

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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. | <p>From My Cases Highlight the case(s) to be updated. See Exhibit 7.15.7-5, Select Case for Transfer or Reassignment.</p> <p>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.</p> |

| | |
|----|---|
| 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).
 - a. An EDS Block Indicator is set.
 - b. 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

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

7.15.7.3.2
(09-08-2014)

Changing Basic Entity Data

- (1) 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.
- (2) 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. | Correct the information as needed. 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. | |
| 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 | Da |
|------------------|-----------------------------------|-------------------|------------|-----------------|--------------------|----------------------|--------|------------|--------------|----|
| 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 | | | |

View Messages Job Status

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

Change Status File Option

The screenshot displays the TEDS (Tax and Employee Data System) interface. On the left, a navigation pane shows 'TEDS : EPSP1' with sub-items: 'Inbox', 'Saved Searches', 'My Cases', 'Cabinets', 'Reports', and 'Recently Viewed'. The 'Reports' item is selected. The main window has a menu bar with 'File', 'Edit', 'View', 'Tools', 'Reports', and 'Role Delegation'. The 'File' menu is open, showing options: 'Change Status', 'Create Case Chronology Entry', 'Save As...', 'Check In', 'Check Out', 'Cancel Checkout', 'Export', 'Delete', 'Help', 'About Webtop', and 'Logout'. The 'Change Status' option is highlighted. The main content area shows a table of cases with columns: 'Case Number', 'EIN', 'EDS Case Number', 'Control Date', 'Expedite Reason Code', 'Status', 'Event Code', 'Closing Code', and 'Date'. The table contains 10 rows of case data. At the bottom, there are buttons for 'View Messages' and 'Job Status'.

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

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

Search

TEDS : EPSP1

- Inbox
- Saved Searches
- My Cases
- Cabinets
- Reports
- Recently Viewed

Select Status Change:

Select Status

- 37--Suspend
- 75/52--Assign Case (Non-Merit)
- 75/62--Assign Case (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 | |

OK Cancel Close

User Profile Logout ?

Restart Edit Save

| 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 | | | |

View Messages Job Status

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

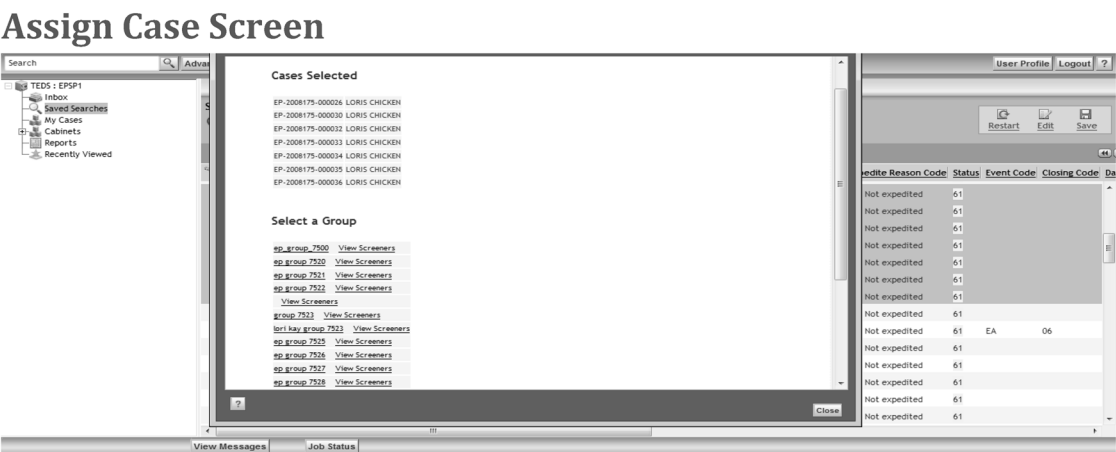


Exhibit 7.15.7-5 (07-19-2013)**Select Case for Transfer or Reassignment****Select Case for Transfer or Reassignment**

The screenshot displays the 'Select Case for Transfer or Reassignment' application. The interface features a search bar at the top left, a menu bar with options like File, Edit, View, Tools, Reports, and Role Delegation, and a left sidebar with navigation links. The main area shows a list of cases with columns for Case ID, Case Name, Date, Time, Status, and Assignee. The 'User Cases' menu item is highlighted in the sidebar. The table lists various cases, including 'VAN WERT CRUISE LINE', 'HAPPES HAPPENING HOT HOLDING & SHIP', 'DUAL SLANT 4 REPAIR', 'SWEETDREAMS SLEEP SHOP', and 'JENNIFERS HOME COOKING & CATERING'.

| Case ID | Case Name | Date | Time | Status | Assignee |
|-------------------|------------|-----------|--------------------|-------------------|----------|
| 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**

Select Status Change:

List of Valid Cases for Status Change:

| Case Number | Expedite Reason |
|-------------------|-------------------|
| EP-2009076-000006 | 000 Not expedited |

Select Status:

- 37--Suspend
- 51--Unassign Case (Non-Merit)
- 52--Assign to Specialist (Non-Merit)
- 53--Return to Specialist (Non-Merit)
- 57--For Closure on EDS
- 59--EDS manual processing
- 61--Unassign Case (Technical Screening)
- 62--Assign Technical Screener
- 64--Return to Technical Screener
- 71--Unassign Case (AP/IP)
- 72--Assign to Technical Screener (AP/IP)
- 73--Return to Technical Screener (AP/IP)
- 75--Group Inventory
- 75--Group Transfer
- 91--Unassign Case (Washington)

status - Press enter after selection to navigate

| EIN | Lead Plan Ein | Control Date | Plan Category |
|------------|---------------|-------------------|---------------|
| 11-1111111 | | 3/3/2009 12:00 AM | |

OK Cancel Close

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

The screenshot displays the 'Case Folder Level' interface. On the left is a navigation tree with the following items: TEDS : EPSP1, Inbox, Saved Searches, My Cases, Cabinets, Reports, and Recently Viewed. The main content area features a search bar at the top with a magnifying glass icon and a dropdown menu set to 'Advanced'. To the right of the search bar are links for 'User Profile', 'Logout', and a help icon. Below the search bar is a menu bar with options: File, Edit, View, Tools, Reports, and Role Delegation. The main display area shows the path 'Cabinets / ... / EP Cases / 2007/02 / EP-2011158-000004' and the case number 'EP-2011158-000004'. There is a 'Starts With' search field and a 'Show Files and Folders' button. A table lists the folders and their item counts:

| Name | Order | |
|------------------|-------|--|
| Case Information | | |
| Documents | 100 | |
| Case Chronology | 102 | |
| Case History | 105 | |
| Payments | 108 | |
| BRE Results | 120 | |
| Related Cases | 340 | |

At the bottom of the interface, there are two buttons: 'View Messages' and 'Job Status'.

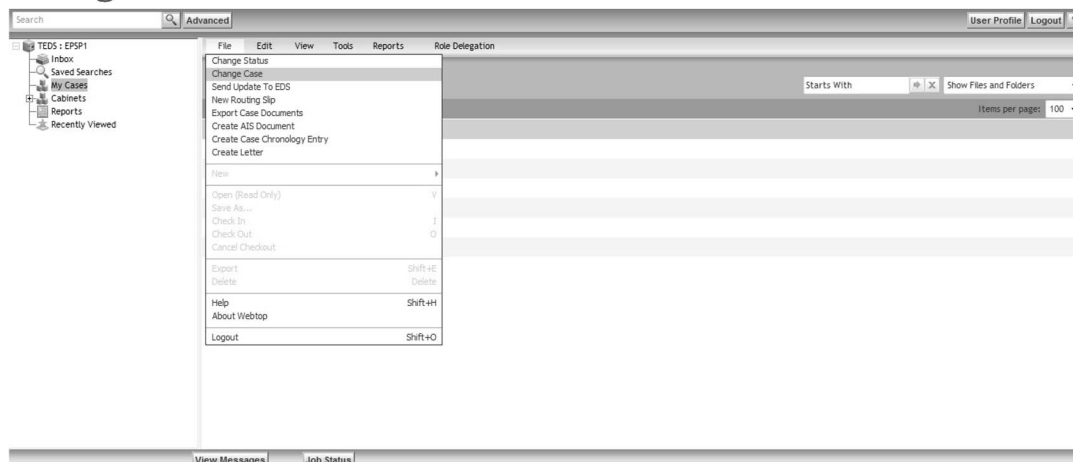
Exhibit 7.15.7-8 (09-08-2014)**Change Case****Change Case**

Exhibit 7.15.7-9 (09-08-2014)

Modify Entity Information

Modify Entity Information

Search Advanced

TEOS : EPSP1

- Inbox
- Saved Searches
- My Cases
- Cabinets
- Reports
- Recently Viewed

File Edit View

Cabinets/.../EP Cases/2007/02

EP-2011158-000004

Name

- Case Information
- Documents
- Case Chronology
- Case History
- Payments
- BRE Results
- Related Cases

Select Case Change:

- Make Case Disclosable
- Make Case Disclosable
- Modify Entity Information

Select Case

Case Change Selection

| 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 St ?

OK Cancel Close

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

Modify Entity Information Screen

The screenshot displays the 'Modify Entity Information' screen within the TEDS (Tax and Employment Data System) interface. The interface is divided into several sections:

- Left Navigation Panel:** Contains a search bar and a tree view with categories like 'TEDS : EPSP1', 'Inbox', 'Saved Searches', 'My Cases', 'Cabinets', 'Reports', and 'Recently Viewed'. Below this is a list of entity types: 'Case Information', 'Documents', 'Case Chronology', 'Case History', 'Payments', 'BRE Results', and 'Related Cases', each with a small icon and a number in a circle.
- Center Panel:** Titled 'Modify Entity Information', it contains input fields for:
 - ENR: 84-1110042 Required
 - Applicant Name 1: AP PLAN CO
 - Applicant Name 2: (empty)
 - Name Control: APPL
- Right Panel:** Contains a 'User Profile' section with a 'Logout' link and a 'Files and Folders' dropdown menu. Below this is a 'Items per page' dropdown set to 100.
- Bottom Bar:** Includes a 'View Messages' button, a 'Job Sta' button, and 'OK' and 'Cancel' buttons.

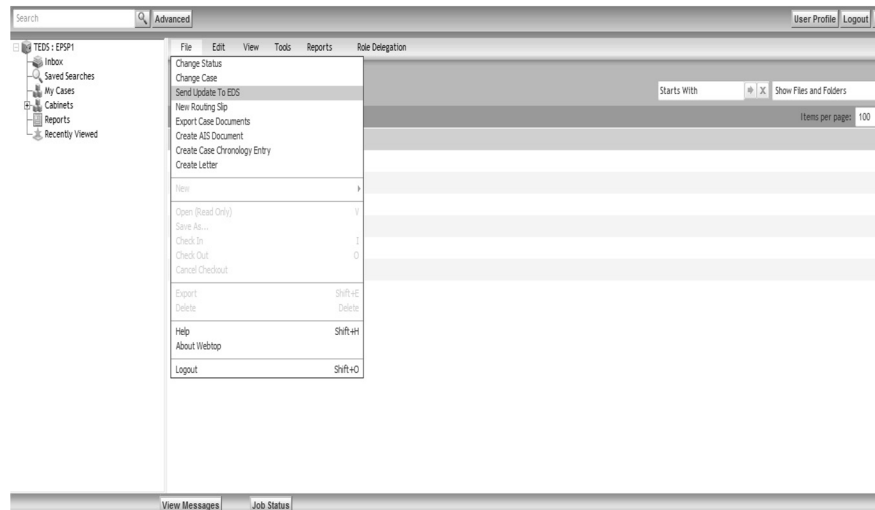
Exhibit 7.15.7-11 (09-08-2014)
Send Update to EDS**Send Update to EDS**

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

| 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 |

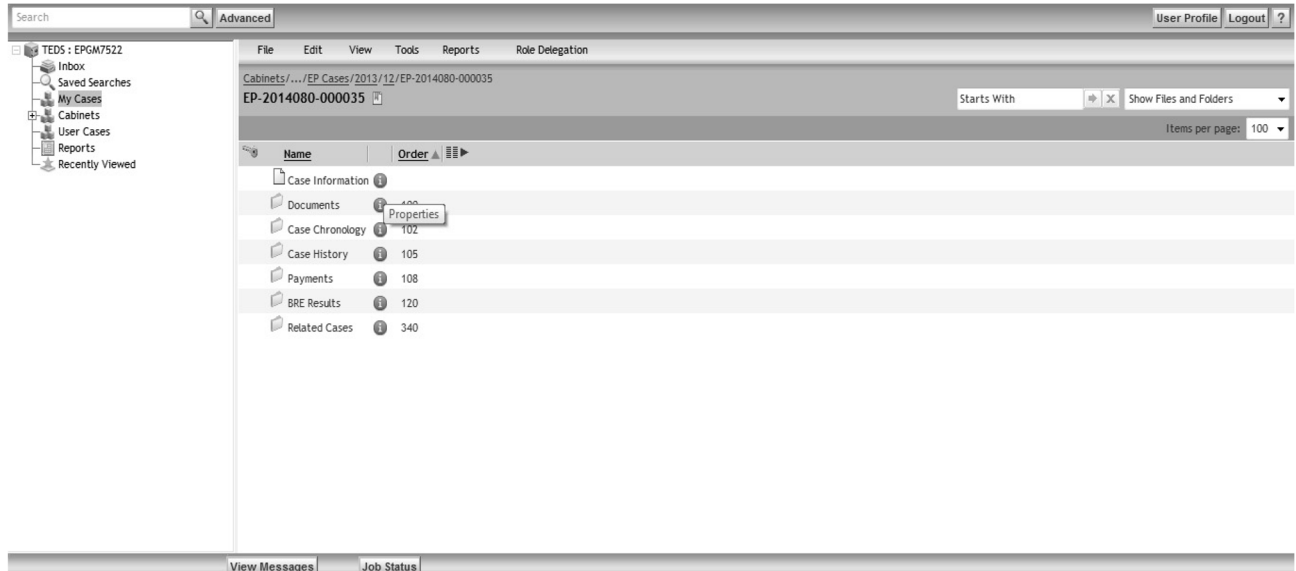
Exhibit 7.15.7-13 (09-08-2014)**Accessing Case Information From the Case Information View****Accessing Case Information From the Case Information View**

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**

The screenshot displays the TEDS application interface. On the left is a navigation pane with a tree view containing 'Inbox', 'Saved Searches', 'My Cases' (selected), 'Cabinets', 'User Cases', 'Reports', and 'Recently Viewed'. The main area shows a table of case information. The table has a header row with the following columns: Case Information, FRANKS AUTO, EP-2010176-000108, 63-3331103, 430215005, 5/3/2010 12:00 AM, 000 Not expedited, 52, EA, 06. The table lists various cases with details like 'MONGO INC', 'ERIE REPAIR', 'LANDER', 'HOODGES INC', 'CEVER CO', 'LAMP', 'MAROONED PONY CO', 'DUAL SLANT 4', 'CHEYNEY LANES', 'COSHOCKTON LLC', 'BORICUA FARMS INC', 'DOTS E', 'DOTS F', 'TOPS A', 'N CO', and 'SPOT TT'. The bottom of the screen shows 'View Messages' and 'Job Status' buttons.

| 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 | MAROONED 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 | 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 application interface for 'Case Information: Info'. The main window is titled 'Properties: Info - Webpage Dialog' and contains 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:**
 - Type: tedx_ep_case
 - Format:
 - Case Number: EP-2013017-000007
 - EIN: 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 interface, there is a 'User Profile' section with a 'Logout' button and a table of expedited cases. The table has columns for 'expedited', '62', '06', and '7'. The table contains 15 rows of data, with the last row highlighted in grey.

| expedited | 62 | 06 | 7 |
|-----------|------|----|----|
| expedited | 62 | 06 | 7 |
| expedited | 72BR | 13 | 1 |
| expedited | 52 | EA | 06 |
| expedited | 72BR | EA | 13 |
| expedited | 52 | EA | 06 |
| expedited | 72BR | EA | 13 |
| expedited | 52 | EA | 13 |
| expedited | 52 | EA | 00 |
| expedited | 52 | EA | 00 |
| expedited | 74PC | BR | 00 |
| expedited | 52 | EA | 00 |
| expedited | 62 | 00 | 6 |
| expedited | 52 | EA | 00 |
| expedited | 74PC | EA | 00 |
| expedited | 52 | EA | 00 |
| expedited | 52 | EA | 00 |
| expedited | 52 | EA | 00 |
| expedited | 52 | EA | 00 |
| expedited | 62 | EA | 00 |

The bottom of the interface shows a status bar with 'Local intranet | Protected Mode: Off' and a zoom level of '100%'.

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

The screenshot displays the 'EP General Case Info. Tab' window. The window has a title bar 'Property Info' and a menu bar with tabs: 'General Case Info.', 'Plan Info.', 'Receipt and Handling', 'Entity Data', 'Contacts', 'EP Closing Data', and 'Permissions'. The 'General Case Info.' tab is active. The window contains the following fields and values:

| Field | Value |
|-----------------------|---------------------------|
| Case Information | |
| Type: tedr_ep_case | |
| Format: | |
| Case Number: | EP-2013017-000007 |
| ERI: | 55-1110001 |
| Applicant Name: | I PLAH CO AND SON |
| Name Control: | IPLA |
| DLH: | 1700701666293 |
| 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: | 31422 |
| Date Assigned: | Jan 18, 2013 12:45:31 PM |
| Form Number: | 5300 |
| Request Type: | A - Amendment Application |
| Plan Name: | I PLAH 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: 1 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

Add

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

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 "Plan Info." tab is active. It contains a "Case Information" section with a folder icon and a list of fields:

- Case Number: EP-2013017-000007
- EH: 55-1110001
- Applicant Name: I PLAN CO AND SON
- Name Control: IPLA
- Type: teds_ep_case
- Format:

Below these are various input fields and dropdown menus:

- Total Plan Participants: 8
- Plan Year Ends: 12 - December
- Plan Effective Date: Jan 1, 2002
- Amendment Execution Dates: Date
- Model Plan Type: [dropdown]
- Volume Submitter Serial Number:
- Prototype Letter Serial Number:
- New Law Indicator: K - GUST II
- Vesting Formula Code: G - Other
- Termination Reason Code: [dropdown]
- Plan Termination Date: Date
- 401K Indicator: N
- Form 5309: [dropdown]
- Benefits Type: P - Profit Sharing / Safe Harbor
- Reversion Indicator: [checkbox]

At the bottom right are "OK" and "Cancel" buttons.

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" (selected), "Entity Data", "Contacts", "EP Closing Data", and "Permissions". The "Receipt and Handling" tab displays the following information:

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

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: 4444
Package Number: A666613016.010
Scan Location: COV001WA2866838
Payment Status: C - Correct
Total Fee Paid: 0
No User Fee Required: ☐
Fee Code: F3000
Dishonored Check Flag: F
Non-scannable Items: N

At the bottom right of the window are "OK" and "Cancel" buttons.

Exhibit 7.15.7-21 (09-08-2014)

Entity Data Tab

Entity Data Tab

The screenshot shows a software window titled "Properties: Info" with several tabs: "General Case Info.", "Plan Info.", "Receipt and Handling", "Entity Data" (selected), "Contacts", "EP Closing Data", and "Permissions". The "Entity Data" tab contains a "Case Information" section with a folder icon, a document icon, and a list of fields. The fields are organized into two columns. The left column includes "Type: teds_ep_case" and "Format:". The right column includes "Case Number: EP-2013017-000007", "EIN: 55-1110001", "Applicant Name: I PLAN CO AND SON", and "Name Control: IPLA". Below these are several text input fields for "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" (checkbox), "Applicant Foreign City", "Applicant Country", "In Care of", "Doing Business As", "Entity Type" (dropdown menu showing "M - Multiple Employer"), "Screener Time: 5", and "Specialist Time: 0". At the bottom right are "OK" and "Cancel" buttons.

| Field | Value |
|-------------------------------------|--------------------------|
| Case Number | EP-2013017-000007 |
| 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 | <input type="checkbox"/> |
| Applicant Foreign City | |
| Applicant Country | |
| In Care of | |
| Doing Business As | |
| Entity Type | M - Multiple Employer |
| Screener Time | 5 |
| Specialist Time | 0 |

Exhibit 7.15.7-22 (09-08-2014)**Contacts Tab****Contacts 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 'Contacts' tab is selected. On the left, under 'Case Information', there is a folder icon, a document icon, and the text 'Type: tedi_ep_case' and 'Format:'. On the right, 'Case Number:' is 'EP-2013017-000007', 'EIN:' is '55-1110001', 'Applicant Name:' is 'I PLAN CO AND SON', and 'Name Control:' is 'IPLA'. Below this, there are input fields for 'POA 1 Firmname:', 'POA 1 Name:', 'POA 1 Address:', 'POA 1 City:', 'POA 1 State:', 'POA 1 Zip:', and 'POA 1 Country:'. Further down are checkboxes for '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:', and 'POA 1 Valid POA:'. At the bottom left is a help icon (?) and at the bottom right are 'OK' and 'Cancel' buttons.

Exhibit 7.15.7-23 (09-08-2014)

Import: File Screen

Import: File Screen

Import: File Selection :

| Selected Files : | |
|------------------|-----------|
| | Browse... |
| | Browse... |
| | Browse... |
| | Browse... |
| | Browse... |
| | Browse... |
| | Browse... |
| | Browse... |
| | Browse... |

?PreviousNextCancel

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 [calendar icon]

Date Imported: Date [calendar icon]

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**

Search Advanced User Profile Logout ?

TEDS : EPSP1

- Inbox
- Saved Searches
- My Cases
- Cabinets
- Reports
- Recently Viewed

File Edit View Tools Reports Role Delegation

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 Shift+F1
Export Shift+F2
Delete Delete
Help Shift+F11
About Webtop
Logout Shift+F12

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 | Plan Document | 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 |

View Messages Job Status

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

Destination Confirmation Screen

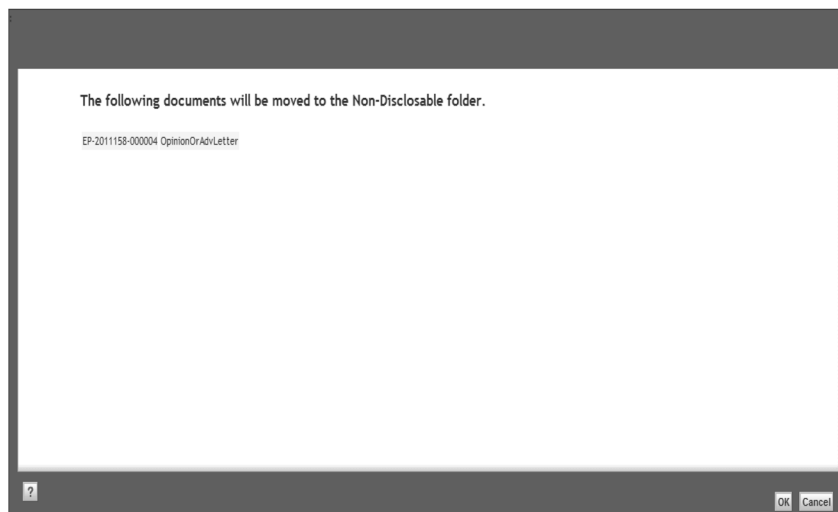


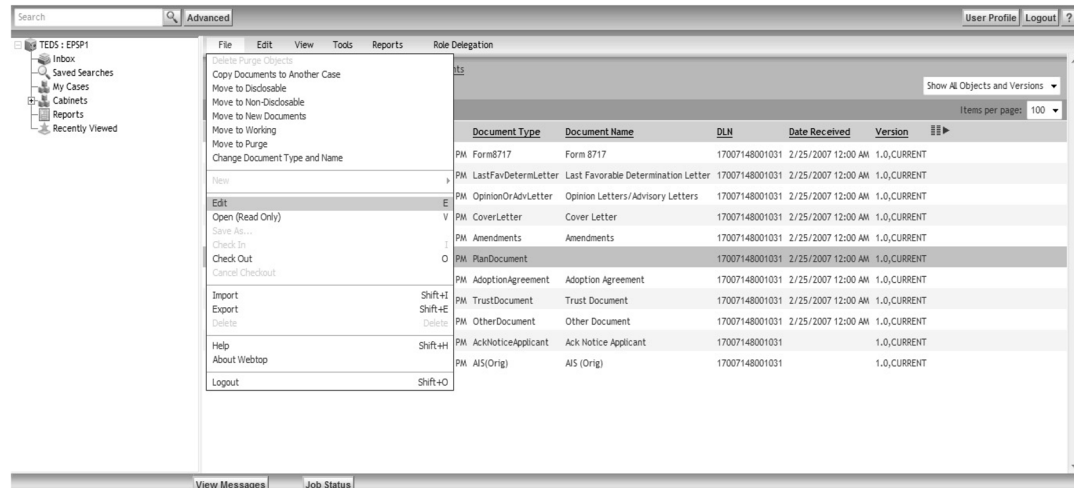
Exhibit 7.15.7-27 (09-08-2014)**Select Document for Editing/Select File Edit****Select Document for Editing/Select File Edit**

Exhibit 7.15.7-28 (09-08-2014)**Checked Out Locked Document (Key Showing)****Checked Out Locked Document (Key Showing)**

Search Advanced User Profile Logout ?

File Edit View Tools Reports Role Delegation

Cabinets / ... / EP Cases / 2007 / 02 / EP-2011158-000004 / Documents

Disclosable Show All Objects and Versions

Items per page: 100

| 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 | 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 |

View Messages Job Status

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

Search Advanced User Profile Logout ?

TEDS : EPSF1

- Inbox
- Saved Searches
- My Cases
- Cabinets
- Reports
- Recently Viewed

File Edit View Tools Reports Role Delegation

- 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
- Logout

Shift+F2
Shift+F3
Delete
Shift+F4
Shift+F5
Shift+F6

13

Show All Objects and Versions

Items per page: 100

| 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 |

View Messages Job Status

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

Copy Document to Another Case

Select the Case you want to copy these documents to

Case Number: EP-2008079-000052

Select the folder where you want to copy these documents to

Folder: Disclosable

The following documents will be copied

Form5310



OK Cancel

Exhibit 7.15.7-31 (09-08-2014)

Update to EDS

Update to EDS

Properties: Info

| | | | |
|---|-------------------------|-----------------|-------------------|
|  | Case Information | Case Number: | EP-2013017-000011 |
|  | Type: teds_ep_case | EIN: | 55-1110017 |
| | Format: | Applicant Name: | A PLAN CO |

Send Update to EDS

Do you want to send an update of case data to EDS?

? OK Cancel

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

The screenshot shows the TEDS: EPSP1 application interface. The 'Select Change Status' window is open, displaying a list of cases. The window has a menu bar (File, Edit, View, Tools, Reports, Role Delegation) and a toolbar with buttons like '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 main area displays a list of cases with columns for Case ID, Description, Date, Status, and User. The 'A PLAN CO' case is 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

The screenshot displays the 'Select Status Change' screen. On the left is a sidebar with a search bar and a tree view containing 'TEDS : EPSP1', 'Inbox', 'Saved Searches', 'My Cases', 'Cabinets', 'Reports', and 'Recently Viewed'. The main content area has a 'Select Status Change:' section with a dropdown menu showing 'Select Status', '74--For Manager Review', and '74PC--For Proposed Closure'. Below this is a table titled '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 |

At the bottom of the main content area are buttons for '?', 'OK', 'Cancel', and 'Close'. On the right side, there is a pane with a 'User Profile | Logout | ?' header and a list of cases with columns for status, category, and count.

| Status | Category | Count |
|--------|----------|-------|
| 52 | EA | 1 |
| 52 | EA | 1 |
| 62 | EA | 1 |
| 53 | EA | 4 |
| 72 | EA | 1 |
| 72 | EA | 2 |
| 72 | RI | 1 |
| 74PC | EA | 09 |
| 62 | EB | 09 |
| 52 | EA | 4 |
| 62 | EA | 4 |
| 72 | EA | 4 |
| 62 | | 6 |
| 74PC | EB | 00 |
| 74PC | EA | 01 |
| 52 | RV | 7 |
| 52 | EA | 1 |
| 52 | EA | 4 |
| 52 | EA | 1 |

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

Manager's Inbox Notification

The screenshot displays the 'Manager's Inbox Notification' interface. On the left is a navigation tree with items like 'Inbox', 'Saved Searches', 'My Cases', 'Cabinets', 'User Cases', 'Reports', and 'Recently Viewed'. The main area shows a table of notifications under the heading 'Inbox (TEDS)'. The table has columns for Subject, From, Date Received, Status, and Repository. The notifications are listed in descending order of date received. A search bar and 'Advanced' link are at the top. A 'Show All (Attachments)' dropdown and 'Items per page: 100' are also visible.

| 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 | documentumsvc | 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 | | |

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

| 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. | | |

OK Cancel

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

Case Chronology Folder

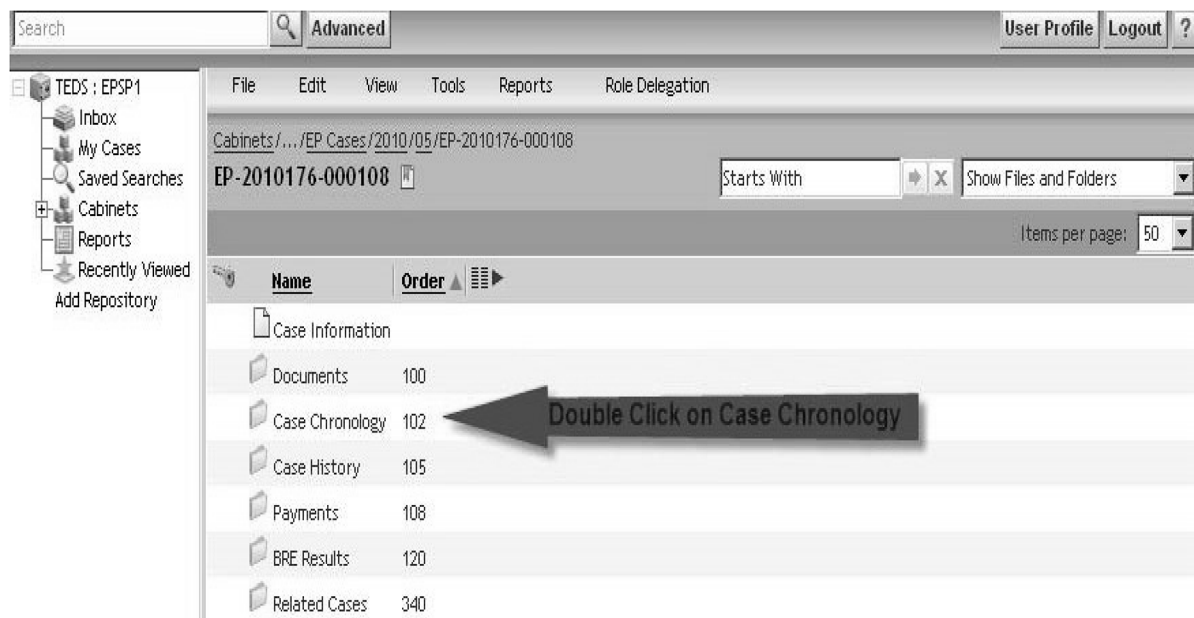


Exhibit 7.15.7-37 (09-18-2015)
Create Case Chronology

Create Case Chronology

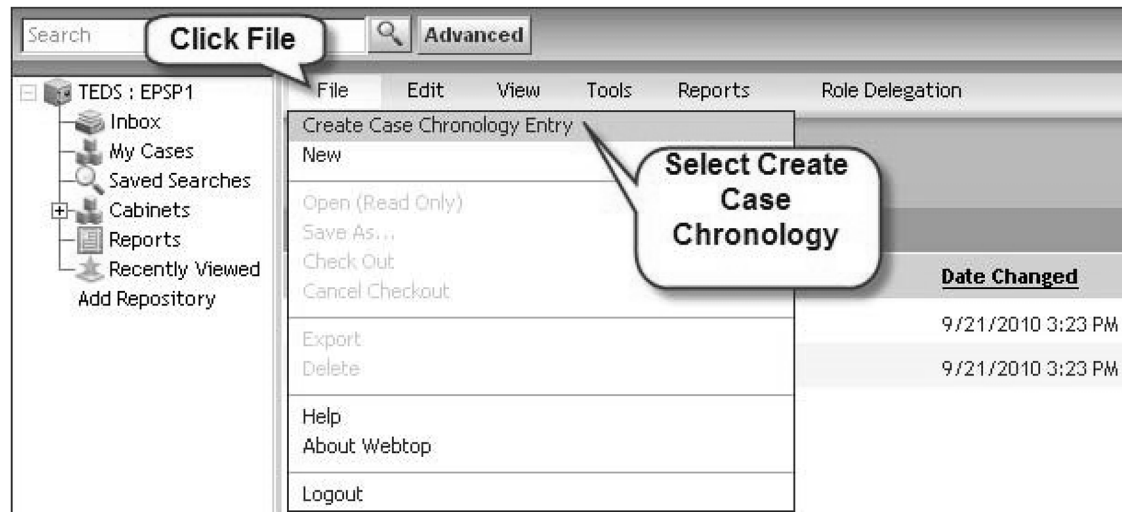


Exhibit 7.15.7-38 (09-18-2015)
Complete Case Chronology Fields

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 : 0 : 0

Follow-up Complete: ☐

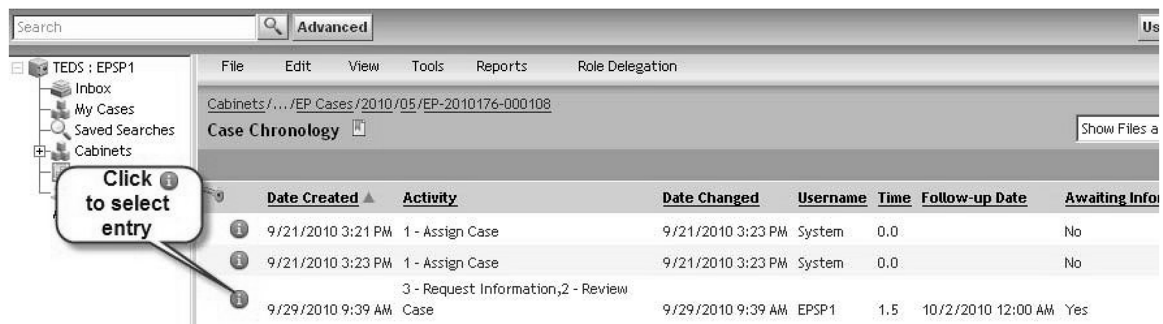
Person Contacted:

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**

Search **Advanced** Us

File Edit View Tools Reports Role Delegation

Cabinets / ... / EP_Cases / 2010 / 05 / EP-2010176-000108

Case Chronology Show Files a

| | <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> |
|--|---------------------|-------------------------------------|---------------------|-----------------|-------------|-----------------------|----------------------|
| | 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 |
| | | 3 - Request Information, 2 - Review | | | | | |
| | 9/29/2010 9:39 AM | Case | 9/29/2010 9:39 AM | EPSP1 | 1.5 | 10/2/2010 12:00 AM | Yes |

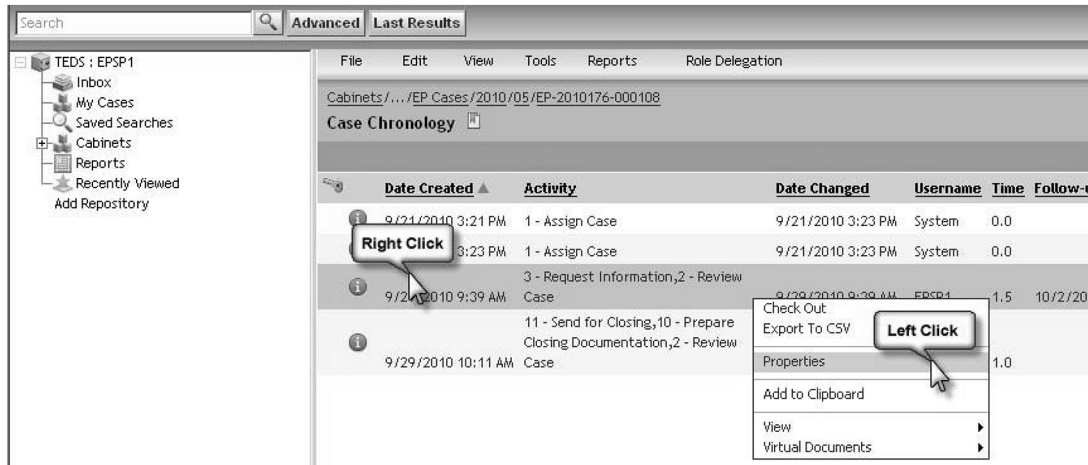
Exhibit 7.15.7-40 (09-18-2015)**Accessing an Existing Case Chronology Entry - Using Properties****Accessing an Existing Case Chronology Entry- using properties**



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**

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 - OJI
10 - Prepare Closing Documentation
11 - Send for Closing
12 - Other

→ Add

Activity :

2 - Review Case
3 - Request Information

▲
▼
Edit
Remove

Exhibit 7.15.7-43 (09-18-2015)

Total Time - Data Entry Tab

Total Time on Data Entry Tab

Properties: Info

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

Entity Type:

Screener Time: 1.5

Specialist Time: 0

Reviewer Time: 0

Total Time: 1.5

Time Shows 1.5 Hours

? OK Cancel

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

Case Chronology Folder

Search **Advanced** User

TEDS : EPSP1

- Inbox
- My Cases
- Saved Searches
- Cabinets
- Reports
- Recently Viewed
- Add Repository

File Edit View Tools Reports Role Delegation

Cabinets / ... / EP Cases / 2010 / 05 / EP-2010176-000108

Case Chronology Show Files and

| | 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 | | |

Entries Show total of 2.5 hours

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 titled "Web Page Dialog" with a "Properties: Info" tab. The page contains the following fields and information:

- Chronology** (Type: teds_chron, Format:)
- 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 with a callout bubble pointing to it that says "Missing Role Information".
- Status (at time of Entry):** 62
- Activity:** Edit 2 - Review Case, 10 - Prepare Closing Documentation, 11 - Send for Closing
- Description:** prepare 5621
import & print 5621 & CCR
close case to manager
- Follow-up Date:** Date [calendar icon] 12:00:00 AM
- Follow-up Complete:** ☐
- Person Contacted:** [text box]
- Time (nnn.nn):** 1
- Awaiting Information:** ☐

At the bottom of the dialog are "OK" and "Cancel" buttons.

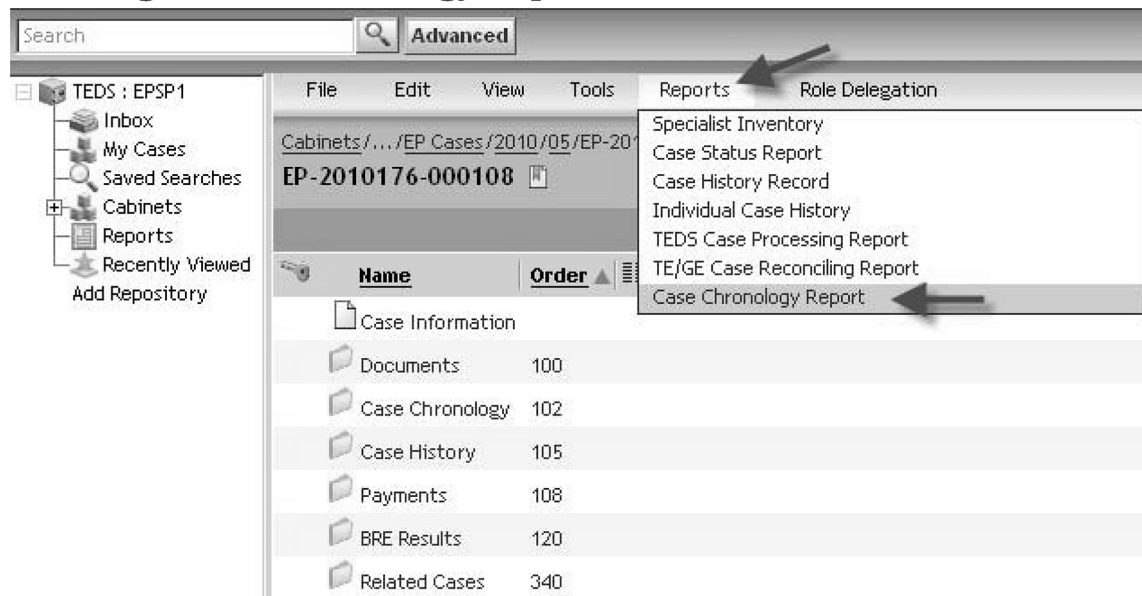
Exhibit 7.15.7-46 (09-18-2015)**Creating a Case Chronology Report****Creating a Case Chronology Report**

Exhibit 7.15.7-47 (09-18-2015)

EP Case Chronology Report and Record

EP Case Chronology Report and Record

Address <http://cov0010clsbo1> Go

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

