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NOTE: ((* * *)) = Indicates confidential and/or proprietary information that has been deleted.

29.1 INTRODUCTION	The Enterprise Data to Revenue Project (EDR) is the first of several FTB information technology projects described in the Strategic Plan that addresses modernizing FTB's tax systems technology environment. The EDR Project lays the foundation for modernizing FTB's tax systems over the long term. The EDR Project does not include replacing our existing legacy systems, such as BETS, TI, ARCS, INC, etc. The EDR Project allows the use of technology to leverage available data to more effectively administer FTB's tax systems. This means more efficient operations throughout FTB, better customer service, a higher level of transparency, and more revenue. The EDR Project consists of two web-based applications: • Taxpayer Folder Application (TPF), and • Case Management Application (CM) MAP 29.1.1 What is the Taxpayer Folder Application? MAP 29.1.2 What is the Case Management Application?

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29.1.1 What is the Taxpayer Folder Application?	The Taxpayer Folder Application (TPF) is an application that contains information that comes from multiple legacy systems and third-party sources, such as:

- Taxpayer Information (TI) System

- Business Entities Tax System (BETS)

- Integrated Non-Filer Compliance (INC) System

- Accounts Receivable Collections System (ARCS)

- Third parties like the Internal Revenue Service (IRS), Employment Development Department, Board of Equalization, California Department of Tax and Fee Administration, and the Department of Real Estate.

NOTE: IRS third party information is collected to identify an entity's contact information for purposes of determining Best Data.

Users can view and update entity information through a single enterprise-wide view using the TPF.

The procedures in this section are provided to assist Audit staff when working within TPF. For more information on navigating TPF, refer to the Global Help for TPF.

The Taxpayer Folder Application can be accessed through the shortcut on the user's desktop.

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29.1.2 What is the Case Management Application?	The Case Management Application (CM) is an application that supports creating cases and assignments, routing work, and tracking assignment completion.
	
	CM will include:
	
	   • Correspondence processing and management
	
	   • Reviews of entity updates
	
	   • Return Analysis
	
	The procedures in this section are provided to assist Audit staff when working within CM. For more information on navigating CM, refer to the Global Help for CM.
	
	The Case Management Application can be accessed through the shortcut on the user's desktop.
	
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29.2 PRE-AUDIT PROCEDURES	Pre-audit procedures relating to Taxpayer Folder and Case Management may vary by program area. Refer to unit-specific procedures for guidance. 4/19
29.3 AUDIT IN PROGRESS PROCEDURES	MAP 29.3.1 Adding an Audit Case Record to TPF MAP 29.3.2 How to View, Create, or Inactivate a Comment in TPF MAP 29.3.3 Contact Information Changes MAP 29.3.4 Document Search MAP 29.3.5 Internal Restriction of Sensitive Information

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	MAP 29.3.6 Add or Edit Demographic Information MAP 29.3.7 Associating Documents to Documents Rev. 7/17

29.3.1 Adding an Audit Case Record to TPF	TPF must be updated to reflect when a return or claim is under audit in PASS. Non-PASS users and the Return Analysis system will not be aware of audit activity otherwise.
	
	TPF uses the "Add Audit/Legal/Advocate" function to indicate if a taxpayer is under audit. Once a PASS case status is changed to "Work in Progress," follow these steps to add an Audit Case Record to the TPF:
	
	STEP 1:
	From the Left Navigation menu, select the ((*****)) item.
	
	STEP 2:
	In the Audit/Legal/Advocate Case List section, select the **((*****************************))** button.
	
	STEP 3:
	In the Add Audit/Legal Case page, complete the applicable fields as follows:
	
	- **Case Type** - Select the "((**********))".
	
	- **Create Date** - The Create Date will default to the date the Audit Case Record is created. This date cannot be edited.
	
	- **Case Status** - Select "((******))".
	
	- **Staff Assigned** - Enter the first and last name of the auditor working the case in PASS.
	
	- **Tax Year or APE** – Enter the tax year that corresponds to the audit.
	
	- **Comments** - Enter the following information in the comments field:
	    o Auditor's full name
	    o Auditor's phone number
	    o Business Area in which the audit is being worked
	    o Date audit was opened in PASS
	    o Indicate if returns under examination are original, amended, or both

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	○ Any other information relevant to non-PASS users
	STEP 4: Select the **Save & Close** button. Repeat steps 2-3 for additional tax years under audit.
	NOTE: Based on the type of entity, the Audit Case Record(s) should be added as follows within the TPF:
	• **Corporations** - An Audit Case Record should be added to the Taxpayer Folder of the corporation. In the case of a combined report, the Audit Case Record need only be added in the Taxpayer Folder of the Key Corporation.
	• **Personal Income Tax** - An Audit Case Record should be added to the Taxpayer Folder of the primary, and to the spouse/RDP's Taxpayer Folder, if applicable.
	• **Pass-Through Entities** - An Audit Case Record should be added for each related entity.
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29.3.2 How to View, Create, or Inactivate a Comment in TPF	**How to View a Comment in TPF** For instructions on how to View a Comment in TPF, refer to the Global Help for TPF. **How to Create a Comment in TPF** All comments must be entered in TPF. Comments/notes are no longer entered in legacy systems (i.e. TI, BETS, INC, etc.). **CAUTION**: Before placing a comment in an Individual type entity's Taxpayer Folder, the auditor should verify all member records are correctly linked in the Linked Member section from the Taxpayer Overview page. If an auditor identifies member record inconsistencies, refer to MAP 29.6.1.2 Data Inspector Referral for Member Records. Once the Data Inspector has resolved all member record inconsistencies, the auditor can create a comment in the entity's Taxpayer Folder.

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	For instructions on how to Create a Comment in TPF, refer to the Global Help for TPF.
	How to Inactivate a Comment in TPF
	For instructions on how to Inactivate a Comment in TPF, refer to the Global Help for TPF.
	Always inactivate a comment when the:
	• Comment contains inaccurate information not provided by the taxpayer
	• Comment contains inappropriate language
	• User did not follow FTB Procedures or Policies
	• Comment does not apply to the taxpayer
	If the auditor does not have the authorization to inactivate a comment, a supervisor or manager must be contacted for assistance.
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29.3.3 Add or Edit Contact Information	The Taxpayer Folder (TPF) is the system of record for an entity's contact information.
	Auditors can add or edit existing contact information in TPF such as an entity's name, address, phone number, and email address. The effective date and the source of the updated contact information can also be changed/added.
	If the auditor receives updated contact information through correspondence (verbally or in writing from the entity or Power of Attorney) or updated contact information is discovered while Skip Tracing (i.e. on Lexis Nexis), it must be updated in TPF and PASS.

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CAUTION: Before making any contact information changes, check to see if the entity's Taxpayer Folder reflects a status of **ID Theft**, **ISCAR/OSCAR**, or **Investigations. If the entity has one of these statuses**, then refer to the table below:

IF	THEN
ID Theft	Fraud is requesting staff not add, edit, or mark as returned mail any contact information. Send an email to FTB Fraud QA Team. Include in the email the Case ID, taxpayer's name, FTB ID, what changes need to be made, the source of the information, and what was the effective date of the information.
ISCAR/OSCAR	Send an email to FTB SCB PDC LEADS. Include in the email the taxpayer's information, what changes were made, and the source of the information.
Investigations	Review comments from the Investigator assigned to the case. Send an email to the Investigator or the Invest Flag Liaison (if unable to locate the Investigator assigned to the case). Include in the email the taxpayer's name, FTB ID, what changes were made, and the source of the information.

MAP 29.3.3.1 Name
MAP 29.3.3.2 Address
MAP 29.3.3.3 Phone Number
MAP 29.3.3.4 Email Address
MAP 29.3.3.5 Marked as Error

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29.3.3.1 Name	An entity's name can be added or edited in TPF as explained below. **Corporations** - Auditors generally do not have access to change a qualified business entity's name in TPF. In order to request a name change for qualified business entities, auditors must submit a completed PASS Form 6213A to Audit Support workgroup Claim/O/A/6213a. Refer to MAP 13.4.3 Accounting Instructions/Corp. (Form FTB 6213A) for instructions on how to complete this form.

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Add Name

An additional valid name can be added to the entity's Taxpayer Folder from the Contact page.

For instructions on how to Add or Edit Name Information in TPF, refer to the Global Help for TPF.

For more information on when to add new contact information, refer to EPM - Add Contact Information.

Edit Name

There are two different methods that can be used to update an entity's name within TPF. The source of the contact information will determine the path to take to access the edit page.

Method	Location within TPF	Source
1	Overview item → Select ((************)) Information button	• Taxpayer • Representative
2	Contact item → Select ((*********)) link → Name Detail page → Edit ((****)) button	• Taxpayer • Representative • USPS • Skip Tracing/User • Other

For instructions on how to Add or Edit Name Information in TPF, refer to the Global Help for TPF.

For more information on when to edit contact information, refer to EPM - Edit Contact Information.

If a name was entered in error, refer to MAP 29.3.3.5 Marked as Error.

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29.3.3.2 Address	An entity's address can be added, edited and/or confirmed in TPF. When the address changes are done in TPF, the respective changes will update to the legacy systems in near-time. Changes to the entity's address are not required to be in writing.

If an entity's address needs to be updated to issue an NPA, and the NPA must be sent in less than 24 hours, contact FTB GTA Review.

NOTE: To update the entity's contact information in PASS, refer to MAP 25.3.10 Address Book.

Add Address

An additional valid address can be added to the entity's Taxpayer Folder from the Contact page.

For instructions on how to Add or Edit Address Information in TPF, refer to the Global Help for TPF.

For more information on when to Add Contact Information, refer to the EPM.

Edit Address

There are two different methods that can be used to update an entity's address information within TPF. The source of the contact information will largely determine the path to take to access the edit page.

Method	Location within TPF	Source
1	Overview item → Select ((************)) Information button	• Taxpayer • Representative
2	Contact item → Select ((*******)) link → Address Detail page → Edit ((*******)) button	• Taxpayer • Representative • USPS • Skip Tracing/User • Other

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For instructions on how to Add or Edit Address Information in TPF, refer to the Global Help for TPF.

For more information on when to Edit Contact Information, refer to the EPM.

<u>Confirm Address</u>

Auditors should use the **Confirm Address** button when <u>both</u> of the following elements are present:

- The auditor is speaking directly with the entity (an individual or organization), or has received a same-day correspondence directly from the entity; **and**

- The auditor has verified the address displayed on the Taxpayer Overview page is the correct and current.

Selecting the **Confirm Address** button automatically updates the **Source** field to "Taxpayer", and the **Effective Date** to the current date (today).

DO NOT select the **Confirm Address** button in the following situations:

- The address information is from the taxpayer's spouse/RDP

- The address information is reviewed on a date other than the date received

- The address information is from the entity's representative or Power of Attorney

- The address information is received from third party sources (e.g., IRS, Secretary of State, DMV, EDD

- The address information is received from internet research (e.g., Lexis Nexis)

For more information on when to Confirm Address, refer to the EPM.

If an address was entered in error, refer to MAP 29.3.3.5 Marked as Error.

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29.3.3.3 Phone Number	An entity's phone number can be added or edited in TPF as explained below.

Add Phone Number

An additional valid phone number can be added to the entity's Taxpayer Folder from the Contact page.

For instructions on how to Add or Edit Phone Number Information in TPF, refer to the Global Help for TPF.

For more information on when to Add Contact Information, refer to the EPM.

Edit Phone Number

There are two different methods that can be used to update an entity's phone number information within TPF. The source of the contact information will largely determine the path to take to access the edit page.

Method	Location within TPF	Source
1	Overview item → Select ((************)) Information button	• Taxpayer • Representative
2	Contact item → Select ((************)) link → Phone Number Detail page → Edit ((***********)) button	• Taxpayer • Representative • USPS • Skip Tracing/User • Other

For instructions on how to Add or Edit Phone Number Information in TPF, refer to the Global Help for TPF.

For more information on when to Edit Contact Information, refer to the EPM.

If a phone number was entered in error, refer to MAP 29.3.3.5 Marked as Error.

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29.3.3.4 Email Address	The entity's email address stored in TPF is used for internal purposes only; it has no effect on the email address the entity uses for access to their MyFTB account. **NOTE:** Auditors do not have the system authorization to add or edit a POA representative's email address. If the POA representative provides a new or updated email address, refer to MAP 3.5.4 Adding/Updating Representative's Email Addresses. For instructions on how to Add or Edit Email Address Information in TPF, refer to the Global Help for TPF. **If an email address was entered in error, refer to MAP 29.3.3.5 Marked as Error.** Rev. 01/18
29.3.3.5 Marked as Error	If any contact and/or demographic information was entered in an entity's Taxpayer Folder in error, the information must be marked as error. Contact and/or demographic information can be marked as error as follows: • Select the Contact or Demographic item in the entity's Taxpayer Folder • Select the link for the incorrect information to display the appropriate detail page • On the appropriate detail page, select the "Mark as Error" • Enter the reason why the information is incorrect in the **Reason** field • Select the **Save & Close** button **CAUTION:** Any contact and/or demographic information that is marked as error will be permanently deleted from the entity's Taxpayer Folder. Before marking contact and/or demographic information as an error, make sure the information should never have been entered in the entity's Taxpayer Folder. For more information on when to Mark Contact/Demographic Information as Error, refer to the EPM. Rev. 7/17

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29.3.4 Document Search	There are two types of Document Searches available to help an auditor locate a correspondence document within CM/TPF:
	• Document Index Search
	• Document Content Search
	All users can perform a Document Index Search, however only designated users are authorized to perform a Document Content Search.
	Auditors must always perform a Document Index Search ***before*** requesting a Document Content Search. Procedures on how to perform each type of Document Search are as follows:
	Document Index Search
	Document Index Searches are performed on the Document Index Search Page. For instructions on how to perform a Document Index Search, refer to Global Help.
	Document Content Search
	Document Content Searches are performed to search for words, phrases, or numbers that appear in searchable documents and images stored by the system.
	Important: Always perform a Document Index Search prior to requesting a Document Content Search, as it is very resource intensive.
	Criteria for requesting a Document Content Search may include:
	• Constitutional issues • Court litigations • Formal Claim for Refunds • Identity Theft • Illegal activities • Informant Information • IPA Requests (Information Practices Act) • Irate Taxpayers • Jeopardy assessments • NPA Protests • PRA Requests (Public Records Act) • Sensitive cases • SOL issues

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	Contact any of the audit Document Content Search Division Representatives to request a Document Content Search. For the current listing of Document Content Search Division Representatives, refer to Table A of the EPM. In the event an audit representative is not available, any Document Content Search Division Representative may be contacted. Rev. 7/17
29.3.5 Internal Restriction of Sensitive Information	If a correspondence resides in TPF (whether it was received via CM, or uploaded by the auditor), it is the auditor's responsibility to safeguard any sensitive information that the correspondence may contain. Sensitive information must be restricted using the Internal Restriction setting in CM/TPF. For instructions on how to Update a Document's Internal Restricted Status, refer to Global Help for TPF. Internal Restricted access is granted on an as needed basis, and can be requested from a supervisor. **CAUTION:** The Internal Restricted function is separate and distinct from the Visible External function. A correspondence marked Internal Restricted may still be marked Visible External. Make sure the appropriate Visible External setting is marked for each Internal Restricted correspondence. Refer to MAP 29.3.8 Marking Items Visible External for more information. **What is Sensitive Information?** Sensitive information is privileged or proprietary information received from the taxpayer. Access to sensitive information must be safeguarded. The protection of sensitive information may be required for legal, ethical, personal privacy, or proprietary reasons. While all information received from the taxpayer during the course of the audit is considered confidential and requires the auditor to maintain its security. Refer to MAP 2.2 Confidential Information Defined. Sensitive information requires additional safeguards to protect the information from unauthorized disclosure. The following list is examples of what is considered sensitive information: • All Third-Party Information • Medical Information ○ Medical history statements ○ Office visits ○ Medication lists ○ Bills related to medical procedures

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- All Financial Statements
  - Bank statements
  - Cancelled checks (especially if MICR line information is viewable)

- Pre-Audit Information Received From:
  - DMV
  - County voting offices

- Children Information
  - Birth certificates
  - School registration
  - School attendance
  - Report cards

- Board/Committee Meeting Minutes

- Subpoenaed Records

- Proprietary Information
  - Processes
  - Pending Patents

- Licensing Agreements

- Contractual Specifics

- Potential Hostile Take-Over Targets

- Customer Lists

- Military Contract Information

This list is not all inclusive. If the information received in a correspondence does not fall under the listed examples, it is the auditor's responsibility to discuss the information with their lead or supervisor to determine the sensitivity.

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29.3.6 Add or Edit Demographic Information	When adding or editing demographic information, refer to Add or Edit Demographic Information in the EPM. Rev. 7/17

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29.3.7 Associating Documents to Documents	**Audit is currently not using this functionality.** This section will be updated if and when audit adopts this functionality. Rev. 7/17
29.4 CORRESPONDENCE	All correspondence received must be recorded and stored in PASS. Procedures for recording correspondence received will vary based on the source of the correspondence: **Correspondence Received Outside of CM/MyFTB** If correspondence is received outside of CM/MyFTB and needs to be uploaded to TPF, refer to MAP 29.4.1 Uploading Correspondence to TPF. **NOTE:** All correspondence received from the taxpayer during an audit must be recorded and stored in PASS. However, on occasion correspondence from the taxpayer may also need to be uploaded to TPF (i.e., taxpayer requests a particular document to be viewable via their MyFTB account, etc.). **Correspondence Received via CM** When correspondence is received via CM, the respective CORR case assignments must be completed in CM, and the correspondence must be recorded and stored in PASS. Refer to MAP 29.4.2 Correspondence Received via CM. **Correspondence Received via MyFTB** When correspondence is received via MyFTB, the CORR case Process Assignment must be completed, and the correspondence must be recorded and stored in PASS. Refer to MAP 29.4.6 Correspondence Received via MyFTB.

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	Federal Tax Information (FTI) Received from the IRS
	All correspondence received from the IRS is FTI. FTI should not be uploaded to TPF. All FTI documents must be recorded and stored in PASS as directed in MAP 28.7 Recording Federal Tax Information in PASS.
	Federal information received *from the taxpayer* is not considered FTI and is permitted to be uploaded to the respective entity's Taxpayer Folder, if needed. Refer to MAP 29.4.1 Uploading Correspondence to TPF.
	MAP 29.4.1 Uploading Correspondence to TPF MAP 29.4.2 Correspondence Received via CM MAP 29.4.3 Categorization Assignment MAP 29.4.4 Associate Assignment MAP 29.4.5 Process Assignment MAP 29.4.6 Correspondence Received via MyFTB MAP 29.4.7 Manually Closing a Correspondence Case MAP 29.4.8 Cross-Referencing to Correspondence in TPF MAP 29.4.9 Misrouted Correspondence MAP 29.4.10 Locating a Correspondence in CM or TPF MAP 29.4.11 Returned Mail
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29.4.1 Uploading Correspondence to TPF	All correspondence received during an audit must be recorded and stored in PASS (MAP 28.6 Recording Received Correspondence in PASS). However, some situations may require that such correspondence must also be uploaded to TPF (i.e., taxpayer requests a particular document such as an IDR or a correspondence sent to the FTB to be viewable via their MyFTB account, etc.). **NOTE:** Correspondence received via CM or MyFTB does not need to be uploaded as this correspondence should already be associated to the entity's Taxpayer Folder. This correspondence can be made visible externally, if necessary. Refer to MAP 29.6.2 Visible External Setting for Documents. To upload a correspondence to TPF, do the following:

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STEP 1:
Save the document file on the ** drive:
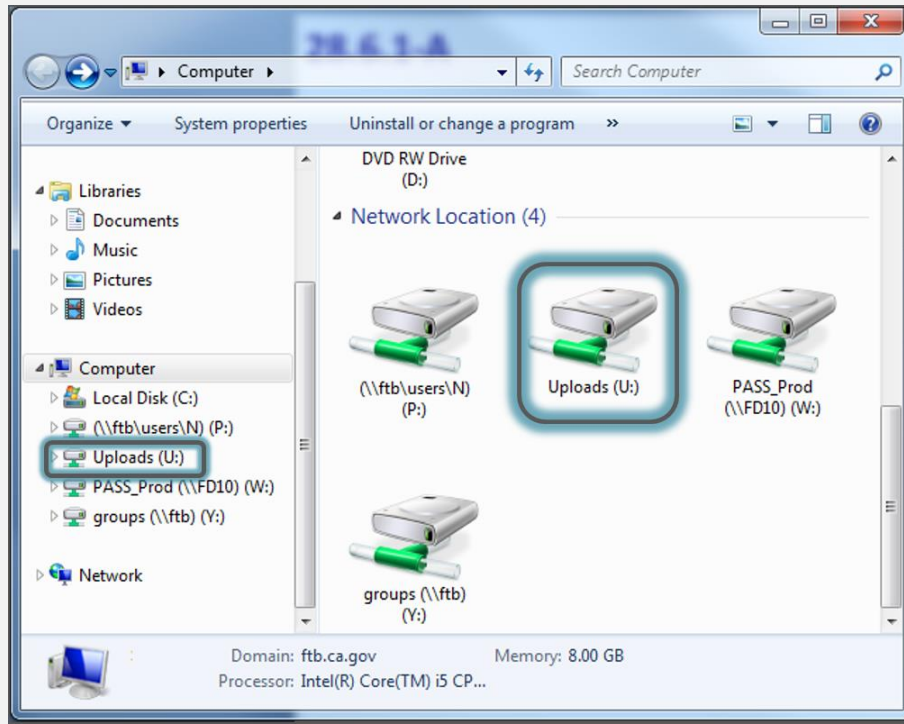
NOTE: Files saved on the ((**)) drive will be purged on a regular basis.

Use the following guidelines when naming a file saved on the ((**)) drive:

- Avoid language that is unprofessional

- Avoid language that would violate Security and Disclosure such as:
    o User ID
    o FEIN or SSN
    o Taxpayer name

- Avoid FTB internal terminology such as:
    o FAN (Frivolous)
    o Fraud
    o Refund Ver (Verification)
    o Investigations

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STEP 2:
Access the entity's Taxpayer Folder.

Individuals – Before uploading correspondence files to an Individual type entity's Taxpayer Folder, the auditor should verify all member records are correctly linked in the Linked Member section from the Taxpayer Overview page. If an auditor identifies a multiple accounting member situation, refer to MAP 29.6.1.2 Data Inspector Referral for Member Records. Once the Data Inspector has resolved all member record inconsistencies, the auditor can upload correspondence files to the entity's Taxpayer Folder.

Corporations – If an audit cycle involves a Method of Filing issue, all audit correspondence should be uploaded to the Taxpayer Folder of the same entity that is represented by the audit cycle's Primary Case Unit in PASS.

STEP 3:
Upload the document to the entity's Taxpayer Folder:

- From the Left Navigation menu, select the ((**************)) item.

- Select the ((*********************)) button. The Upload Correspondence page displays.

- In the Upload Type field, select the ((***************)) radio button.

- In the Title field, enter an appropriate description of the document.

- Select Browse. The File Upload popup window will display.

- Select Browse in the popup window, and select the file that was saved to the ** drive in Step 1.

- Select Open. The file name displays in the Files Upload section.

- In the Internal Restricted field, select the Yes radio button if the document contains sensitive information. Otherwise select No. Refer to MAP 29.3.5 Internal Restriction of Sensitive Information for more information.

- In the Visible External field, select the Yes radio button if the document should be viewable via MyFTB. Otherwise select No. Refer to MAP 29.6.2 Visible External Setting for Documents for more information.

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- The Effective Date defaults to the current date. The Effective Date field must reflect the actual received date of the document.

- In the Multiple Tax Years field, check the box if there is more than one taxable year in the audit cycle. (Applicable to Individuals only.)

- In the Tax Year field, enter the taxable year that corresponds to the primary case unit in PASS. (Applicable to Individuals only.)

- APB: Input first day of the tax year that corresponds to the primary case unit in PASS. (Applicable to Business Entities only.)

- APE: Input last day of the tax year that corresponds to the primary case unit in PASS. (Applicable to Business Entities only.)

- Select the *************** button.

STEP 4:

Open the document in the entity's Taxpayer Folder to verify the document was correctly uploaded.

If the document was not correctly uploaded, the respective CORR case must be manually closed in CM. Refer to MAP 29.4.7 Manually Closing a Correspondence Case.

NOTE: When referring to a particular correspondence file within PASS audit working papers, always cross-reference to the correspondence file located in the respective PASS Received Correspondence folder, as directed in MAP 28.9.1 Cross Referencing Correspondence Documents. **Do not** cross-reference to the copy of the correspondence file located in TPF.

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29.4.2 Correspondence Received via CM	When correspondence is received via CM, the respective CORR case assignments must be completed in CM, and the correspondence must be recorded and stored in PASS.
	Follow the steps provided below to complete the CORR case assignments in CM and to properly record and store the correspondence in PASS:

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STEP 1:

Locate the CORR case in My Worklist, and select the ******* link to open the assignment.

If the Assignment Name is "Associate," proceed to Step 2.

If the Assignment Name is "Categorization," complete the Categorization Assignment as follows:

- In the **Categorize Correspondence** field, select the **((*******************))** radio button.

- In the **Route Based On** field, select the ((********)) radio button. (The **Worklist** field will default to the auditor's name.)

- In the ((********)) dropdown list, select the appropriate **((********))** based on unit procedures.

- Select the **Submit** button.

Refer to MAP 29.4.3 Categorization Assignment for more information.

STEP 2:

If the category is correct, complete the Associate Assignment as follows:

- Review the attachment(s) to confirm that it <u>only</u> contains information relating to the entity.

If all or part of a correspondence file was erroneously routed to the auditor in CM, follow the applicable procedures in MAP 29.4.9 Misrouted Correspondence.

- In Associate Entities section, select the **((**********))** button.

  o If the information received is from a third party, the CORR case must not be associated to the entity. In the **Association** field, select the **((********************************))** radio button and then select the **Submit** button. The Associate Assignment is now complete, proceed to Step 4.

  o Before associating a CORR case to an Individual type entity's Taxpayer Folder, the auditor should verify all member records are correctly linked in the Linked Member section from the Taxpayer Overview page. If an auditor identifies a multiple accounting member situation, refer to MAP 29.6.1.2 Data Inspector

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Referral for Member Records. Once the Data Inspector has resolved all member record inconsistencies, the auditor can associate the CORR case to the entity's Taxpayer Folder.

- Search for the taxpayer using the search criteria.

- In the Search Results section, select the radio button of the desired taxpayer, and select the **Select** button. The newly associated entity displays in the Associate Entities section.

- Associate a spouse (Individuals only). To associate a spouse to the taxpayer, do the following:

    o Select the **((*******))** icon. The Add Spouse dialog box displays.

    o Select the radio button of the desired spouse to be associated.

    o Select the **((*********))** button.

- Update the external visibility for an entity. To update the external visibility for an entity, do the following:

    o Select the **((*************))** icon. The Visible External Confirmation dialog box displays.

    o In the **Visible External** field, select the **Yes** radio button if the document should be viewable via MyFTB. Otherwise select **No**. Refer to MAP 29.6.2 Visible External Setting for Documents for more information.

    o Enter the reason for the update in the **Reason** field.

    o Select the **Submit** button.

- In the **Association** field, select the **((********************))** radio button.

- Select the **Submit** button.

Refer to MAP 29.4.4 Associate Assignment for more information, including how to change or update a correspondence entity association.

STEP 3:

Complete the Process Assignment for the CORR case as follows:

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	• In the Process Correspondence section, select the appropriate **((******************))** from the dropdown list based on program area:
	
	      o NBA – "BE Corporation"*
	      o PIT, PTE, RES – "PIT Correspondence"*
	
	   * These correspondence types are subject to change. Always review unit procedures before selecting the **((******************))**.
	
	• In the **((**************))** dropdown list, select "((**))".
	
	• Select the ((******)) tab in the Lower Tabs area, and complete the following fields as follows:
	
	      o **Subject** – "Audit"
	      o **Notes** – "Referenced in the PASS Received Correspondence folder" or "Recorded as Public Contact in PASS", as applicable.
	
	Then select the **((********))** button to save the case note.
	
	• Select the **Submit** button.
	
	Also refer to MAP 29.4.5 Process Assignment for more information.
	
	STEP 4:
	
	Record the correspondence received in PASS.
	
	If the correspondence was received from the taxpayer or representative, refer to MAP 28.6 Recording Received Correspondence in PASS.
	
	If the correspondence contains third party information, refer to MAP 28.8 Recording Third Party Information in PASS.
	
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29.4.3 Categorization Assignment	If the Assignment Name of the CORR case in My Worklist begins with "Categorization," follow the steps below to categorize the CORR case. If the Assignment Name of the CORR case in My Worklist begins with "Associate," and the category is correct, then Categorization of the CORR case has already been completed. Refer to MAP 29.4.4 Associate Assignment.

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STEP 1:
From My Worklist, select ((*******)) link to open the assignment.

STEP 2:

In the **Categorize Correspondence** field, select the **((********************))** radio button.

STEP 3:

In the **Route Based On** field, select the **((********))** radio button. The Worklist field will default to the auditor's name.

STEP 4:

In the **((********))** dropdown list, select the appropriate ((********)) based on unit procedures.

STEP 5:
Select the **Submit** button.

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29.4.4 Associate Assignment	Generally, correspondence documents will be associated with at least one entity's Taxpayer Folder, regardless of whether the correspondence document was uploaded directly to TPF or received through CM. The association of correspondence documents can be changed or updated as needed. MAP 29.4.4.1 Associating Correspondence in TPF MAP 29.4.4.2 Associating Correspondence in CM MAP 29.4.4.3 Change/Update Correspondence Entity Association in TPF MAP 29.4.4.4 Change/Update Correspondence Entity Association in CM Rev. 7/17

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29.4.4.1 **Associating** **Correspondence in** **TPF**	Correspondence that is uploaded directly to an entity's Taxpayer Folder (as covered in MAP 29.4.1 Uploading Correspondence to TPF), does not require association. The correspondence is automatically associated with the respective entity. If the association of the correspondence needs to be changed or updated, refer MAP 29.4.4.3 Change/Update Correspondence Entity Association in TPF. Rev. 7/17
29.4.4.2 **Associating** **Correspondence in** **CM**	For correspondence that is received through CM, the Associate Assignment may have been completed by CM or Enterprise Association Group (EAG). If the Associate Assignment was not automatically completed by the system or EAG, follow the steps below to associate the CORR case. **STEP 1:** From My Worklist, select ((********)) link to open the assignment. **STEP 2:** Review the attachments to confirm that it <u>only</u> contains information relating to the entity. If all or part of a correspondence file was erroneously routed to the auditor in CM, follow the applicable procedures in MAP 29.4.9 Misrouted Correspondence. **STEP 3:** In the Associate Entities section, select the **((**********))** button. • If the information received is from a third party, the CORR case must not be associated to the entity. In the **Association** field, select the **((**********************************))** radio button and then select the **Submit** button. The Associate Assignment is now complete, and the Process Assignment can be performed as directed in MAP 29.4.5 Process Assignment. • Before associating a CORR case to an Individual type entity's Taxpayer Folder, the auditor should verify all member records are correctly linked in the Linked Member

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section from the Taxpayer Overview page. If an auditor identifies a multiple accounting member situation, refer to MAP 29.6.1.2 Data Inspector Referral for Member Records. Once the Data Inspector has resolved all member record inconsistencies, the auditor can associate the CORR case to the entity's Taxpayer Folder.

STEP 4:

Search for the taxpayer using the search criteria.

STEP 5:
In the Search Results section, select the radio button of the desired taxpayer, and select the **Select** button. The newly associated entity displays in the Associate Entities section.

STEP 6 (Individuals Only):

To associate a spouse to the CORR case, do the following:

- Select the **((*******))** icon. The Add Spouse dialog box displays.

- Select the radio button of the desired spouse to be associated.

- Select the **((*********))** button.

STEP 7:

Update the external visibility for an entity. To update the external visibility for an entity, do the following:

- Select the **((**************))** icon. The Visible External Confirmation dialog box displays.

- In the **Visible External** field, select the **Yes** radio button if the document should be viewable via MyFTB. Otherwise select **No**. Refer to MAP 29.6.2 Visible External Setting for Documents for more information.

- Enter the reason for the update in the **Reason** field.

- Select the **Submit** button.

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	STEP 8: In the **Association** field, select the **((*********************))** radio button. **STEP 9:** Select the **Submit** button. If the correspondence entity association needs to be changed or updated, refer MAP 29.4.4.4 Change/Update Correspondence Entity Association in CM. Rev. 7/17
29.4.4.3 Change/Update Correspondence Entity Association in TPF	Update associated entities on a document in TPF when the current association is incorrect and/or additional entities need to be associated to the document. Remove any incorrect associated entities, if applicable. **NOTE:** If the Update Associated Entities button is not available, the associated entity update/changes to the document must be made in CM. Refer to MAP 29.4.4.4 Change/Update Correspondence Entity Association in CM. Before updating a document's entity association, consider the following: • If the information received is from a third party, the CORR case must not be associated to the entity. Refer to the CM Global Help instructions for how to Unassociate an Entity from a Case. • Always review the Document Context Information section to ensure that the correct entity information is reflected. Any document context information that does not relate to the correct associated entity must be deleted or updated. • If a document was marked Visible External, and it was later determined that the document's associated entities need to be updated, an unauthorized disclosure may have occurred and appropriate action must be taken. For more information on how to handle this situation, refer to MAP 29.9.1 Visible External Document with Incorrect Entity Association.

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	• If the document contains information relating to multiple taxpayers refer to MAP 29.6.3 Correspondence Case Contains Information for Multiple Taxpayers before updating the entity association.
	To update or change a document entity association in TPF, refer to the TPF Global Help instructions for how to Update Associated Entities.
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29.4.4.4 Update Document Entity Association in CM	Update associated entities on a document in CM when the current association is incorrect and/or an additional entities need to be associated to the document. Remove any incorrect associated entities, if applicable.
	Before updating a document's entity association, consider the following:
	• If the information received is from a third party, the CORR case must not be associated to the entity. Refer to the CM Global Help instructions for how to Unassociate an Entity from a Case.
	• Always review the Document Context Information section to ensure that the correct entity information is reflected. Any document context information that does not relate to the correct associated entity must be updated or deleted.
	• If a document was marked Visible External, and it was later determined that the document's associated entities need to be updated, an unauthorized disclosure may have occurred and appropriate action must be taken. For more information on how to handle this situation, refer to MAP 29.9.1 Visible External Document with Incorrect Entity Association.
	• If the document contains information relating to multiple taxpayers refer to MAP 29.6.3 Correspondence Case Contains Information for Multiple Taxpayers before updating the entity association.
	To update or change a correspondence association from within CM, refer to the CM Global Help instructions for how to Update Entity Association.
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29.4.5 Process Assignment	For audit purposes, the final assignment to complete a CORR case is the Process Assignment. Once the Process Assignment is complete, the CORR case is closed. To complete the Process Assignment, do the following: **STEP 1:** In the Process Correspondence section, select the appropriate **((******************))** from the dropdown list based on program area: • NBA – "BE Corporation"* • PIT, PTE, RES – "PIT Correspondence"* * These correspondence types are subject to change. Always review unit procedures before selecting the Correspondence Type. **STEP 2:** In the **((**************))** dropdown list, select "((**))". **STEP 3:** Select the ((******)) tab in the Lower Tabs area, and complete the following fields as follows: • **Subject** – "Audit" • **Notes** – "Referenced in the PASS Received Correspondence folder" or "Recorded as Public Contact in PASS", as applicable. Then select the **((*********))** button to save the case note. **STEP 4:** Select the **((******))** button. Rev. 7/17

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29.4.6 Correspondence Received via MyFTB	All correspondence received via MyFTB must be processed in CM and recorded and stored in PASS. Refer to MAP 29.7.3 Receive MyFTB Message. Rev. 7/17
29.4.7 Manually Closing a Correspondence Case	A CORR case is closed after the Process Assignment is completed (MAP 29.4.5 Process Assignment). Although not typical, some situations will require a CORR case to be manually closed. For example, • A CORR case was created in error in CM. • A document was uploaded to TPF in error. • A document was uploaded to TPF in duplicate. • A document was uploaded to TPF, but the document is blank upon opening. • A document pertaining to multiple unrelated entities, is inadvertently uploaded to TPF or received through CM. When one of the above situations occurs, do the following: 1. If the CORR case is associated to an entity's Taxpayer Folder, the document must be unassociated from the entity. For instructions on how to Unassociate a Document from an Entity, refer to Global Help for TPF. 2. Manually close the CORR case. For instructions on how to Manually Close a Case, refer to Global Help for CM. Rev. 7/17

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29.4.8 Cross Referencing to Correspondence in TPF	Within audit working papers, always cross reference to the correspondence documents located in the PASS Received Correspondence folder. Refer to MAP 28.9.1 Cross Referencing Correspondence Documents.
	DO NOT cross reference to correspondence documents stored in TPF.
	NOTE: Tax returns stored in TPF will be cross referenced within the PASS audit working papers. Refer to MAP 28.9.4 Cross Referencing Returns.
	Rev. 7/17
29.4.9 Misrouted Correspondence	Occasionally a CORR case may be misrouted in CM.
	MAP 29.4.9.1 Receiving Misrouted Correspondence MAP 29.4.9.2 Not Receiving Correspondence
	Rev. 7/17
29.4.9.1 Receiving Misrouted Correspondence	Occasionally, a case may be misrouted, or erroneously contain information for multiple taxpayers.
	<u>Misrouted Correspondence</u>
	A routing error occurs when a case, or a document within the case, has been routed to the incorrect:
	• workbasket; or
	• worklist within the same workbasket.
	If an auditor receives a CORR case, or a document within the case that has been incorrectly routed to their worklist, the auditor can route the case to another workbasket or worklist. Refer to <u>Table B</u> of the EPM for a listing of workbaskets.

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CAUTION: A warning message will display for a case assignment if the user does not have the system authorization to work the case assignment. If this warning message displays, route to the appropriate workbaskets (Table B) or worklist.

- If an auditor receives a PTRA case type, please send an email with the following information to the FTB IVS Process Liaison for the PTRA case to be removed from the auditor's worklist:

    o   In the Subject Line: "Misrouted PTRA Case"
    o   In the Body: "Please remove PTRA Case ID [XXXXXXXXXXXXXXX] from my worklist."

Route to Another Workbasket

1. In the **((*************))** dropdown menu, select **((*****************************))**.
2. **From the ((*************))** options, select the **((***********))** radio button.
3. In the **((********))** dropdown list, select **((*******************)).**
   Caution: If the CORR case has a category of MyFTB Message, DO NOT change the category.
4. In the **((******))** field, enter the reason for routing the assignment.
5. Select the **((******))** button.

Route to Another Worklist

1. In the **((*************))** dropdown menu, select **((*******************************))**.
2. From the **((***************))** options, select the **((********))** radio button.
3. In the **((*********))** autocomplete field, enter the appropriate user ID or user name.
4. In the **((********))** dropdown list, select **((*******************))**.
   Caution: If the CORR case has a category of MyFTB Message, DO NOT change the category.
5. In the **((******))** field, enter the reason for routing the assignment.
6. Select the **Submit** button.

CORR Case Contains Information for Multiple Taxpayers

An auditor working a CORR case may find that the attached document includes information pertaining to a taxpayer other than the audited entity. The document attached to the case needs to be split into separate documents, following procedures in MAP 29.6.2.1 Splitting Correspondence.

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29.4.9.2 Not Receiving Correspondence	If an auditor is anticipating a correspondence through CM, but does not receive it in a reasonable amount of time, the auditor should search for the correspondence before following up with the taxpayer. It is possible that the correspondence was received, but was misrouted, incorrectly associated, or was not associated at all. Perform the following tasks to search for a correspondence within CM/TPF:
	
	1. Determine if the correspondence was associated to the entity's Taxpayer Folder by reviewing the Cases item. If the correspondence is located in the Cases item:
	
	    o Note the CORR case ID
	
	    o Perform a search in CM for the CORR case
	
	    o Select the ((*******)) link to access the CORR case
	
	    o Complete the Process Assignment for the CORR case (MAP 29.4.5 Process Assignment)
	
	2. If the correspondence is not in the Cases item of the entity's Taxpayer Folder, search for the correspondence. Refer to MAP 29.3.4 Document Search.
	
	    o If the correspondence is located during the Document Search, complete the CORR case assignments, as applicable. Refer to MAP 29.4.2 Correspondence Received via CM.
	
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29.4.10 Search for a Correspondence in CM/TPF	If a correspondence document is not in an auditor's Worklist, the Cases item of the respective entity's Taxpayer Folder must be reviewed. If the correspondence document is located in the Cases item, do the following: • Note the CORR case ID • Perform a search in CM for the CORR case • Select the Case ID link to access the CORR case

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	• Complete the Process Assignment for the CORR case (MAP 29.4.5 Process Assignment)
	If the correspondence document is not in the Cases item of the entity's Taxpayer Folder, search for the correspondence. Refer to MAP 29.3.4 Document Search.
	If the correspondence is located during the Document Search, complete the CORR case assignments, as applicable. Refer to MAP 29.4.2 Correspondence Received via CM.
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29.4.11 Returned Mail	When mail is returned undeliverable to FTB, the correspondence will be returned to the auditor that prepared it.
	The auditor is responsible for updating the address to "Returned Mail". For instructions on how to Add or Edit Address Information, refer to the Global Help for TPF. If the taxpayer has a spouse/RDP with the same address, update the spouse/RDP's contact information, as applicable.
	CAUTION: If the entity's Taxpayer Folder reflects a status of ID Theft, ISCAR/OSCAR, or Investigations, refer to MAP 29.3.3 Contact Information Changes, to contact the appropriate business areas before making changes to the contact information.
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29.5 CLOSING AUDIT PROCEDURES	MAP 29.5.1 Updating an Audit Case Record in TPF
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| **29.5.1 Updating an Audit Case Record in TPF** | Once an audit is completed in PASS, the corresponding audit case record in the TPF must be updated to reflect the "COMPLETED" status.

Generally, the audit case record is updated by the Audit Business Support (ABS) section. However, when an audit results in a "No Change", the lead or supervisor is responsible for updating the audit case record as follows:

STEP 1:
In the entity's Taxpayer Folder, select the ((*****)) item from the Left Navigation menu.

STEP 2:
In the Audit/Legal Case List section, select the ((***********)) link.

STEP 3:
Select the **((********************))** button.

STEP 4:
Update the following fields:

    • **Case Status** - Select "((*********))" from the dropdown list.

    • **Comments** - DO NOT delete any previous comments, add the following items:

        ○ The date that the audit was closed.

        ○ A statement indicating that the examination of the tax year(s) resulted in a No Change.

STEP 5:

Select the **Save & Close** button.

NOTE: The audit case record is updated by ABS staff for all cases transferred to TRS for closing review.

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29.6 OTHER PROCEDURES	MAP 29.6.1 Multiple Accounting Member Records MAP 29.6.2 Splitting, Merging, Redacting and Extracting Correspondence MAP 29.6.3 Correspondence Case Contains Information for Multiple Taxpayers MAP 29.6.4 Visible External Setting for Documents MAP 29.6.5 Visible External Setting for Activity Logs Rev. 7/17
29.6.1 Multiple Accounting Member Records	A Member Record is a unique individual or business organization record as retrieved from a source system. For example, an individual's TI account, or a business entity's BETS account. Member records from multiple sources may be linked to the same Taxpayer Folder if they pertain to the same entity. Occasionally, an auditor may identify member record inconsistencies. MAP 29.6.1.1 Identifying Member Record Inconsistencies MAP 29.6.1.2 Data Inspector Referral for Member Records Rev. 7/17
29.6.1.1 Identifying Member Record Inconsistencies	Indicators of inconsistent member records may include: • Information on the Contact and/or Demographic Detail pages (for all member record types) of two separate Taxpayer Folders belong to the same entity. • Information on the Contact and/or Demographic Detail pages (for all member record types) does not belong to the same entity. • The Linked Members section of the Taxpayer Overview page contains multiple member records coming from the same legacy accounting system, but with different

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Sourced System IDs. This is only applicable for Individual type entity. For example:

One Taxpayer Folder may have two member records from TI, each member record with a different SSN.

NOTE: When this happens, the following caution message will display on the Taxpayer Overview page: "*This entity has multiple accounting members associated. Further analysis required.*"

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29.6.1.2 Data Inspector Referral for Member Records	Data Inspectors are responsible for ensuring member records are properly linked. Auditors are not authorized to link member records.
	
	If an auditor identifies member record inconsistencies, they must inform their lead or supervisor.
	
	If a lead or supervisor determines the member records require correction, they will inform the Audit Business Support's (ABS) Data Inspector Liaison via email, using the following format:
	
	• Subject line must read:
	
	   o "Request: Correct Member Records"
	
	• Body of email must include:
	
	   o TPID of the taxpayer
	   o Full name of the taxpayer
	   o Screen print of the Linked Members section from the Taxpayer Overview page
	   o Description of the issue
	   o Contact information of lead or supervisor
	   o Contact information of auditor who identified the member record inconsistencies

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	After the email is sent, the lead or supervisor must create a comment in the entity's Taxpayer Folder. The comment must read: "Requested review of member record inconsistencies." For instructions on how to Create a Comment, refer to the Global Help for TPF. Rev. 6/18
29.6.2 Splitting, Merging, Redacting and Extracting Correspondence	MAP 29.6.2.1 Splitting Correspondence MAP 29.6.2.2 Merging Correspondence MAP 29.6.2.3 Redacting Correspondence MAP 29.6.2.4 Extracting Correspondence Rev. 7/17
29.6.2.1 Splitting Correspondence	The auditor may receive a correspondence that needs to be split into two (2) or more separate correspondences. A correspondence can be split in **Adobe Pro** as follows: • Open the correspondence in **Adobe Pro.** • On the right side of the toolbar click **Tools**. From the **Pages** drop down list, click the **Split Document** icon.

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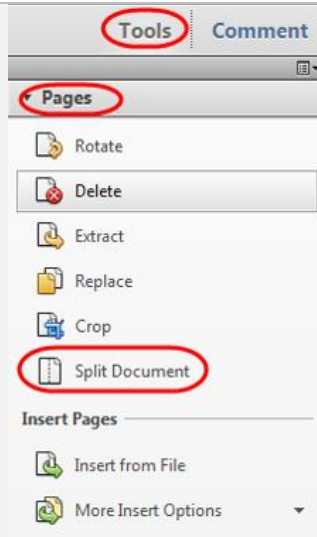
- The correspondence can be split by **Number of Pages**, **File Size**, or **Top-Level Bookmarks**. Select the radio button next to the desired splitting method, then click **OK** (other options can be manipulated using the **Output Options** button).
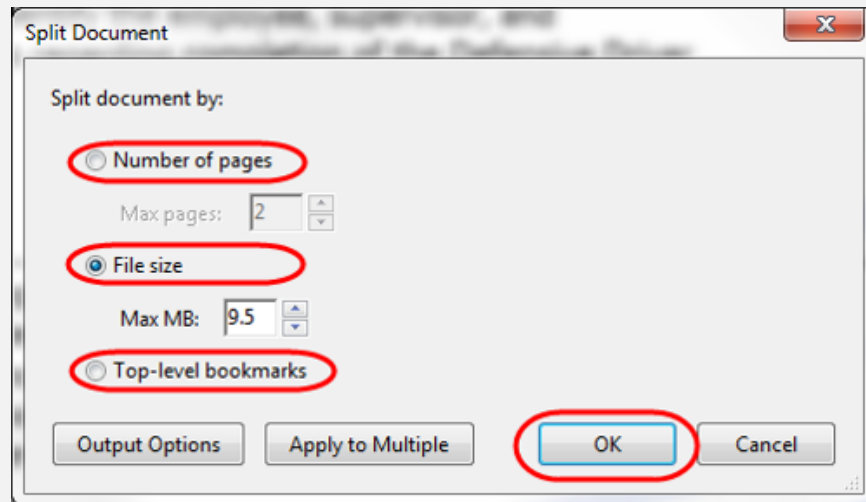
- The split correspondence(s) will appear in the location of the original correspondence and the new file(s) will have the same file name as the original, followed by _Part 1, _Part 2, etc.
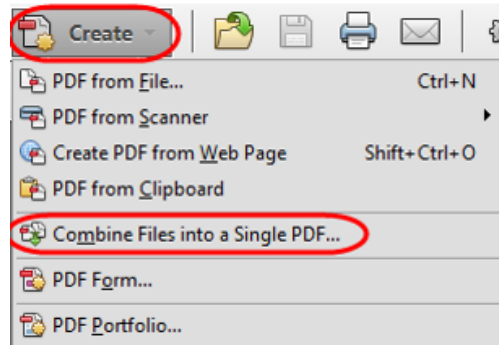
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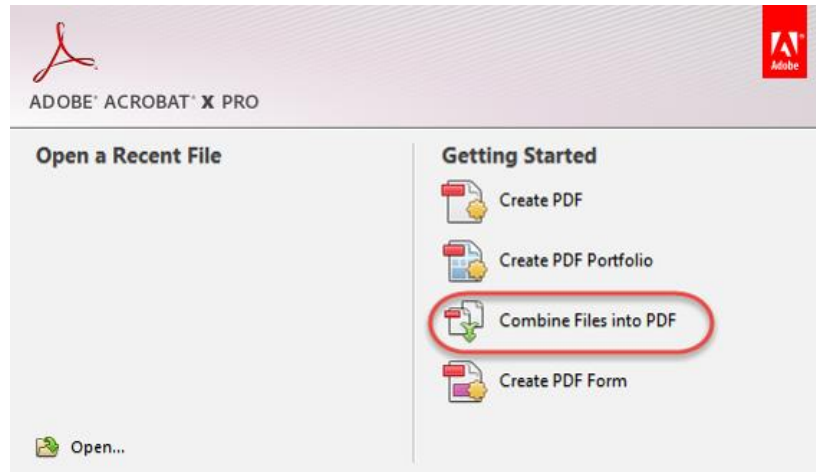|	
29.6.2.2 Merging Correspondence	The auditor may receive multiple correspondences that need to be merged together into one correspondence. Correspondences can be merged in **Adobe Pro** as follows: - Open **Adobe Pro**. - On the left side of the toolbar, click the **Create** button, and then select **Combine Files into a Single PDF** from the drop down menu. Alternatively, select **Combine Files into PDF** on the opening screen. - Click **Add Files…** to expand the drop down menu. Select **Add Files…**, locate and select the files that need to be merged, and then click **Open**. Selected files will appear in the Combine Files window.

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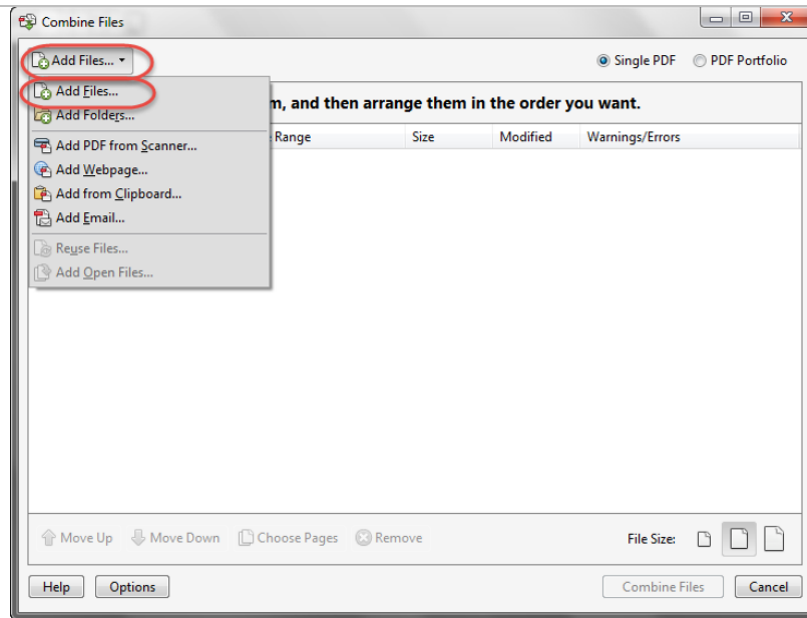
Alternately, drag and drop the files into the Combine Files window.
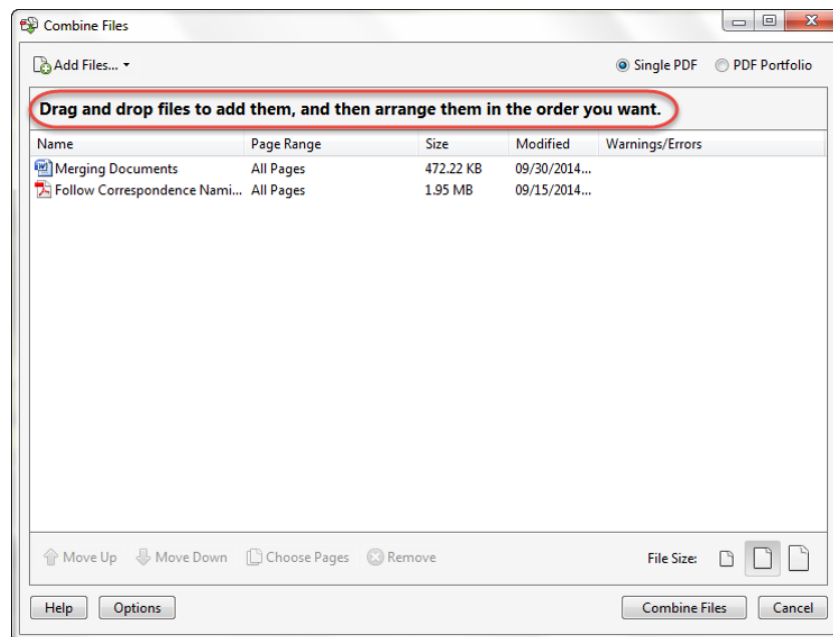
NOTE: Word documents can be added to the Combine Files window. Adobe Pro will convert the Word document to PDF format as part of the merging process.

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- Once all selected files are displayed in the Combine Files window, the order of the files can be manipulated using the **Move Up** and **Move down** buttons. When finished, click **Combine Files**.
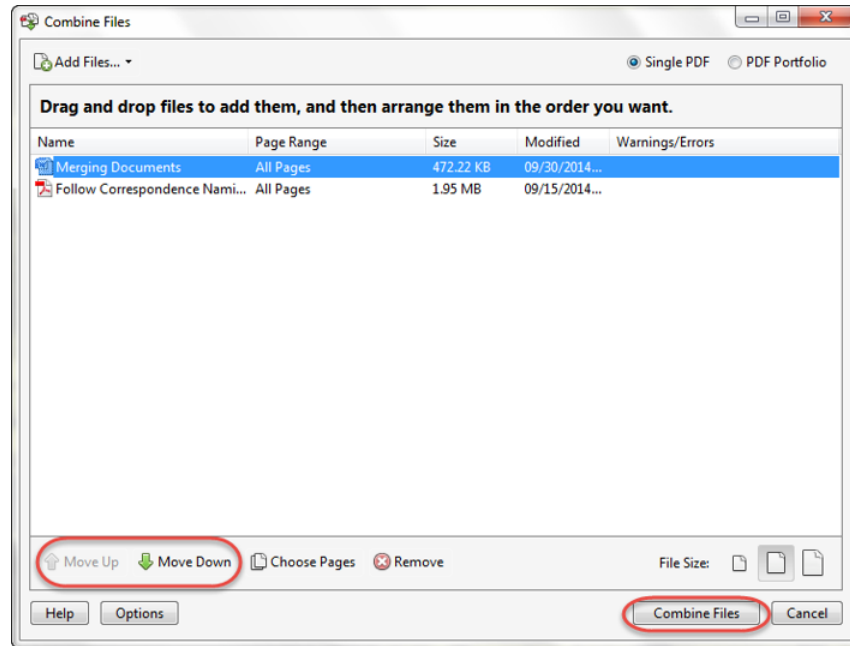

- The newly merged file will open on the user's desktop. The file name will default to Binder#.pdf. Save the new file.

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29.6.2.3 Redacting Correspondence	The auditor may receive a correspondence containing information that requires redaction. Correspondences can be redacted in **Adobe Pro** as follows: - Open the correspondence in **Adobe Pro.** - On the right side of the toolbar click **Tools**. From the **Protection** drop down menu, click the **Mark for Redaction** icon. The following message may appear, to remind the user that redaction requires two steps. Click **OK** to continue.

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Using Redaction Tools

Redaction allows you to permanently black out and remove sensitive content.

Redaction requires two steps:

1. Mark for Redaction

2. Apply Redactions

Note:
Redactions are not applied permanently until you select Apply Redactions.

☐ Don't show again

OK
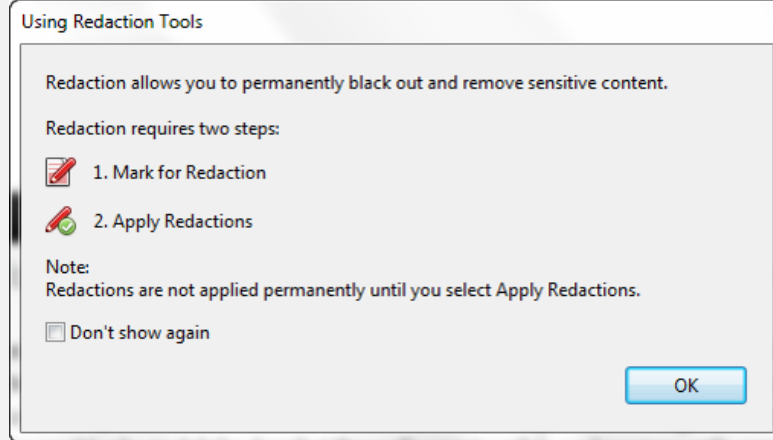
- Select the section(s) of the correspondence that require redaction.

- Apply the redactions by clicking the **Apply Redactions** icon in the **Protection** drop down menu. Any section marked for redaction will not be permanently removed unless you complete this step.
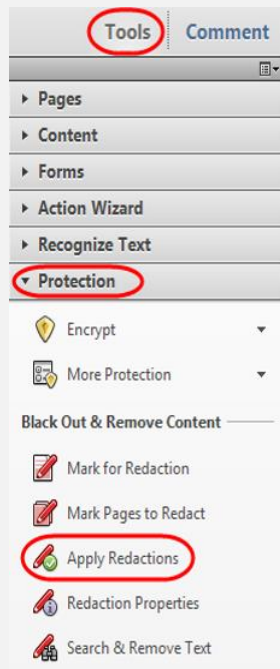
Tools | Comment

▸ Pages
▸ Content
▸ Forms
▸ Action Wizard
▸ Recognize Text
▾ Protection

Encrypt
More Protection

Black Out & Remove Content

Mark for Redaction
Mark Pages to Redact
Apply Redactions
Redaction Properties
Search & Remove Text

- Save a copy of the redacted correspondence.

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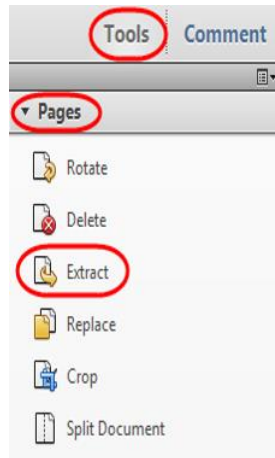|	
29.6.2.4 Extracting Correspondence	The auditor may receive a correspondence containing pages that need to be extracted.
	Pages can be extracted from a correspondence in **Adobe Pro** as follows:
	• Open the correspondence in **Adobe Pro.**
	• On the right side of the toolbar click **Tools**. From the **Pages** drop down menu, click the **Extract** icon.
	• Enter the page or page range of the correspondence that needs to be extracted and click **OK**.
	The extracted page(s) will open in a separate Adobe Pro Document.
	• Save a copy of the extracted document.
	• Alternately, each page selected in the range can be automatically saved as a separate file by checking the **Extract Pages As Separate Files** box. The individual files will be automatically saved to the same location as the original file.
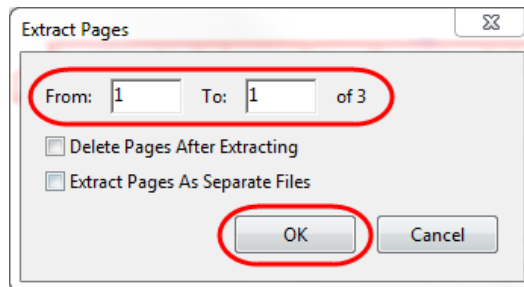
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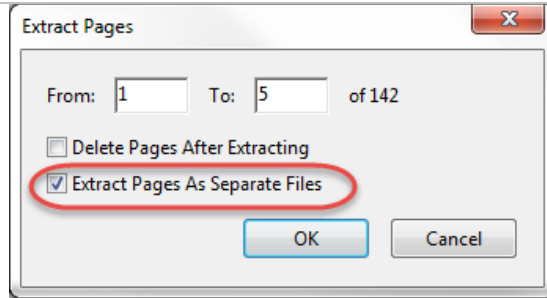
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| 29.6.3 Correspondence Case Contains Information for Multiple Taxpayers | If a correspondence (received through CM or directly uploaded to TPF) contains information for multiple, unrelated taxpayers, then the correspondence must be split. Refer to MAP 29.6.2.1 Splitting Correspondence.

Once the splitting process is complete, the original and split documents must be handled as provided below.

Original document
Unassociate the document by selecting the **((*********************************))** radio button in the Associate Entities section.

Split documents

Handle as applicable:

• For each document related to the audit case, record and store in PASS as directed in MAP 28.6 Recording Received Correspondence in PASS. If necessary, also upload to the applicable entity's Taxpayer Folder (MAP 29.4.1 Uploading Correspondence to TPF).

• For each document unrelated to the audit case, route to the correct worklist or workbasket. Refer to MAP 29.4.9.1 Receiving Misrouted Correspondence.

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29.6.4 Visible External Setting for Documents	The Visible External setting is a functionality that allows Correspondence, EDR Notices, MyFTB Messages and Returns to be viewed externally by taxpayers via MyFTB. MAP 29.6.4.1 When to Update Visible External Setting for Documents MAP 29.6.4.2 How to Update Visible External Setting for Documents Rev. 7/17

29.6.4.1 When to Update Visible External Setting for Documents	The following documents can be marked Visible External:
	
	• Correspondence
	
	• MyFTB Messages
	
	• EDR Notices
	
	• Returns
	
	Documents should be marked Visible External based on a taxpayer's right and need-to-know. Before marking any of the above documents Visible External, the auditor must thoroughly review the document, and take into consideration the following guidelines:
	
	• Always confirm the document is for the correct taxpayer. Verify that the document is not associated to the wrong taxpayer.
	
	• Never mark a document as Visible External if the document contains Informant information.
	
	• Never mark a document as Visible External if the taxpayer has requested that the document not be viewable via MyFTB.
	
	• Never mark a document as Visible External if the document contains:
	
	    o Any marks written or stamped, other than the received date.
	
	    o Internal processing codes (e.g., TAC).
	
	    o FTB User IDs.

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- o   Inappropriate language and/or threats.

- o   Unrelated taxpayer information.

NOTE: If a taxpayer requests a document to be externally visible via MyFTB, and it contains any of the above information, the document must be redacted. The redacted copy of the document can be uploaded to TPF and marked Visible External. The original document must remain <u>not</u> Visible External. For instructions on how to redact a document, refer to MAP 29.6.2.3 Redacting Correspondence.

- Never mark a document as Visible External if the document contains screen prints of proprietary system information. Such information is not permitted to be uploaded to TPF, however, the auditor should always verify that the document does not contain this type of information or images.

- Never mark Third Party documents received from other state agencies, the IRS (FTI), or financial institutions, unless the Third Party provided written consent to FTB to disclose the information to the entity.

For instructions on how to mark an item as Visible External, refer to MAP 29.6.4.2 How to Update Visible External Setting for Documents.

CAUTION: If the auditor realizes that a document has been marked Visible External in error or determines that a document should no longer be Visible External, the auditor must:

- Update the Visible External setting for the Document. For instructions, refer to MAP 29.6.4.2 How to Update Visible External Setting for Documents.

- Update the Visible External setting for the respective Activity Log. For instructions, refer to MAP 29.6.5.2 How to Update Visible External Setting for Activity Logs.

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29.6.4.2 How to Update Visible External Setting for Documents	The Visible External setting can be updated from "No" to "Yes", which enables the external visibility of a document. The setting can also be updated from "Yes" to "No", thereby disabling the external visibility of a document.
	
	Access to the Visible External setting will vary depending on the type of document being marked:
	
	Returns
	
	• From the Returns List (on the Returns item), copy the DLN of the return for which the Visible External setting needs updating.
	
	• Go to the Document Index Search page and populate the following fields:
	
	    ○ Document Association: Select the **((***))** radio button
	    ○ Search By: Select **DLN**
	    ○ DLN: Paste the DLN copied from the Returns List
	
	• Select the appropriate DLN link from Search Results. The Document Detail Page will display.
	
	• Select the **((**************************))** button in the Associated Entities section. The Update Associated Entities page displays.
	
	• Select the **((****************************))** icon of the associated entity that is to be updated. The Visible External Confirmation dialog box will display.
	
	• Update the **Reason** field the following information:
	
	    ○ Source of the request (Taxpayer, POA representative, etc.)
	    ○ Reason for enabling or disabling
	    ○ The contact method (i.e., phone, email, etc.)
	
	• Select the **Submit** button. The Visible External Confirmation dialog box closes.
	
	• Select the **Save & Close** button.
	
	Documents, MyFTB Messages, and Notices
	
	• From the Document Details page, select the **((**************************))** button in the Associated Entities section. The Update Associated Entities page displays.
	
	• Select the **((****************************))** icon of the associated entity that is to be updated. The Visible External Confirmation dialog box will display.

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	• Update the Reason field the following information:
	
	    o Source of the request (Taxpayer, POA representative, etc.)
	    o Reason for enabling or disabling
	    o The contact method (i.e., phone, email, etc.)
	
	• Select the **Submit** button. The Visible External Confirmation dialog box closes.
	
	• Select the **Save & Close** button.
	
	For more instructions on how to Update External Visibility of a document, refer to Global Help for TPF.
	
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29.6.5 Visible External Setting for Activity Logs	The Activity List page is a summary of activity information associated to the entity's Taxpayer Folder. When action is taken in an entity's Taxpayer Folder, by FTB staff or the system, the Activity Log is automatically updated with a description of the action (e.g., comments made, system issued EDR Notices, etc.). Certain Activity Logs can be made visible external for taxpayers to view via MyFTB. MAP 29.6.5.1 When to Update Visible External Setting for Activity Logs MAP 29.6.5.2 How to Update Visible External Setting for Activity Logs Rev. 7/17
29.6.5.1 When to Update Visible External Setting for Activity Logs	Before updating the Visible External setting for an activity log, the auditor must take into consideration of the following guidelines: • Always review an activity log before updating the Visible External setting. • Never update the Visible External setting for an activity log from **No** to **Yes**.

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- Always update the Visible External setting for an activity log from **Yes** to **No** when the following occurs:

  - An entity is unassociated from a document that was previously marked Visible External.

  - The auditor identified a document has been marked Visible External in error.

  - The auditor determines that a document should no longer be viewable via MyFTB.

The following table provides a list of common activity log types that are recorded in the Activity List page.

Activity Log Type	Default Viewable External	Can the Setting be Updated?
Contact/Demographic Information		
Contact/Demographic information updates made by FTB staff	No	Yes
Contact/Demographic information updates made by taxpayers or representatives via MyFTB	Yes	Yes
Comments		
Comments	No	No
Notice Comments	No	No
Correspondence		
Correspondence – Uploaded to TPF or scanned into CM	No	Yes
Correspondence – Uploaded via MyFTB	Yes	Yes
EDR Notices	Yes	Yes
MyFTB Messages	Yes	Yes
Returns/Payments		
Returns – e-Filed	Yes	Yes
Returns – Paper Filed	No	Yes
Payments – Scanned Checks, EFT, and WebPay transactions	No	No

For the complete list of activity logs, see QRG Taxpayer Folder Activity Logs.

For more information on when to Clean Up Activity Lists, refer to the EPM.

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29.6.5.2 How to Update Visible External Setting for Activity Logs	From the Left Navigation menu, select the ((********)) item to navigate to the ((*************)) page: • Select the ((***********)) link of the activity log to be updated. The Activity Detail page displays. • The Activity Detail page will indicate if the Visible External setting is set to "Yes" or "No". o If Visible External is set to "Yes", and needs to be changed, select the **((**************************))** button. Rev. 7/17
29.7 MYFTB	MyFTB is an external application that provides taxpayers and tax practitioners with secure online access to tax return information and notices, the ability to send correspondence online, as well as a variety of other self-service options. Auditors will interact with taxpayers and representatives via MyFTB during the course of an audit. MAP 29.7.1 MyFTB Customer Support MAP 29.7.2 Send MyFTB Message MAP 29.7.3 Receive MyFTB Message Rev. 7/17
29.7.1 MyFTB Customer Support	If taxpayers or representatives have any questions or require assistance with their MyFTB accounts they can be referred as follows: MAP 29.7.1.1 EASE Registration PIN MAP 29.7.1.2 Reporting MyFTB Incidents The auditor can provide the following information to the taxpayer or representative in case they are disconnected: • Toll Free - 800.353.9032

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	• Local - 916.845.2829 • Hours of operation - 7 a.m. to 5 p.m. weekdays, except state holidays Rev. 7/17

29.7.1.1 EASE Registration PIN	Once Individual Taxpayers, Business Representatives, or authorized Tax Preparers register for an online MyFTB account, we mail them a Personal Identification Number (PIN). The PIN is used to complete the registration process and access the account. In cases where a PIN letter was not received, only an authorized EASE or Field Office agent with authorized EASE access may disclose or send out the six-digit PIN. Staff, other than an authorized EASE or Field Office agent, should **never** disclose or attempt to disclose the six-digit PIN.
	
	CAUTION: Audit staff are not authorized EASE agents and cannot disclose the six-digit PIN.
	
	If an Individual Taxpayers, Business Representatives, or authorized Tax Preparers requests a copy of the MyFTB Account PIN letter, advise the caller you will be transferring them to the EASE hotline for further assistance. Prior to transferring the call to the EASE hotline, confirm with the customer that they have all the information required for MyFTB registration:
	
	• Individual taxpayer: (**must have**)
	    ○ A valid email address
	    ○ Social Security Number
	    ○ Last name on the account
	    ○ Information from a California tax return filed within the last five years including the year of the return, their filing status, and California AGI
	    ○ Address information for the most recent address provided to FTB
	
	• Business Representative:
	    ○ They must use one of the last five tax years returns on file, include company type and account number:
	        ▪ Corporation: 7- digit California Corporation ID Number
	        ▪ Limited Liability Company (LLC): 9-digit or 12-digit Secretary of State (SOS) ID Number
	        ▪ Partnership: 9-digit Federal Identification Number (FEIN)
	    ○ Tax year of the return

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	o Tax form type for the return they chose
	o Net or total income or loss shown on the return
	o Address information for the most recent address provided to FTB
	o Business Representatives can also go to ftb.ca.gov and search for My FTB Account for Businesses for complete information
	
	• Tax Preparer:
	    o Their Social Security Number or FEIN; if they used their FEIN when they registered with the IRS for an EFIN, they enter their FEIN in the SSN box
	    o One of the following ID Numbers:
	        ▪ PTIN - Practitioner Tax Identification Number; we receive quarterly updates
	        ▪ EFIN - Electronic Filer Identification Number
	        ▪ CTEC - California Tax Education Council; we receive updates every two weeks
	        ▪ CPA - Certified Public Accountant, must be registered in California; we receive updates twice a year
	        If they do not have one of the ID numbers listed, they cannot register as a tax preparer
	    o Address information for the most recent address provided to FTB
	    o Tax Preparer can also go to ftb.ca.gov and search for Account Registration for complete information
	
	For more information on when to Refer to EASE Hotline and Disclose an EASE Registration Six Digit PIN, refer to the EPM.
	
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29.7.1.2 Reporting MyFTB Incidents	Audit staff may be contacted by external customers for assistance with technical difficulties they are encountering with their MyFTB account. When contacted by an external customer for assistance (regardless of whether the customer is related to one of the auditor's assigned audit cases or not), audit staff will: • Assist the taxpayer with their tax need, and • Report the technical difficulty to an EDR Rover (refer to your local EDR Rover list) who will assist the auditor in reporting it to the IT Service Desk (ITSD). o Confirm the issue is not EASE related. If so, refer the customer to the EASE Hotline. Refer to MAP 29.7.1.1 EASE Registration PIN. • Never advise the customer that FTB can "fix" or "reconfigure" their system settings.

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- Never provide a timeframe for resolution, unless quoted in local procedure.

- Never guarantee FTB will contact the customer back when the incident is resolved, unless quoted in procedure.

CAUTION: If you **do not** have a previously established relationship with the taxpayer, refer to MAP 2.16 Identity Verification before assisting with any confidential information needs.

Always use the following suggested scripts (as applicable to the scenario) when responding to a customer:

- **General:** "*I apologize for any inconvenience this may have caused. I will report this incident for investigation. I'd be happy to assist you with your tax needs over the phone.*"

- **Confidential Data Disclosure:** "*Franchise Tax Board takes data security very seriously. I apologize for any inconvenience this may have caused. I will report this potential disclosure to the appropriate internal authorities who will investigate the situation. Until such time your MyFTB account will be disabled as an additional security measure.*"

- **Inaccurate Data:** "*Franchise Tax Board takes data accuracy very seriously. I apologize for any inconvenience this may have caused. I will report this incident for investigation. I'd be happy to assist you with your tax needs over the phone.*"

- **Known Functionality Outage:** "*I apologize for the inconvenience but this feature is currently unavailable. You can try back in XX to XX hours (days, weeks) or I would be happy to assist you with your tax needs over the phone. We thank you for your patience.*

For more information on when to Report MyFTB Incidents, refer to the EPM.

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29.7.2 Send MyFTB Message	The Send Message feature in TPF allows auditors to send a message to a taxpayer's MyFTB account. The Send Message feature may only be used by auditors for informal communication with the taxpayer. Refer to unit procedures for acceptable usage guidelines.

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For any formal communication, continue to use traditional methods of contact such as letters issued from PASS. For the electronic transmission of any formal communication, Secure Email must still be used.

Unacceptable usage of the Send Message feature includes, but is not limited to:

- Initial Contact Letters
- Appointment Confirmation Letters
- Position Letters
- Formal Request/Demand for Information
- Audit Determination Information
- Waivers
- POA Declarations

To send a MyFTB message to the taxpayer, use the following steps:

STEP 1:

Access the entity's Taxpayer Folder.

STEP 2:

From the Left Navigation menu, select the ((**************)) item. Select the **((********************))** button.

STEP 3:

On the Upload Correspondence page, complete the following fields as directed:

- **Upload Type** - select the **((************))** radio button.

- **Title** - Enter the subject of the message.

  - Do not use language that is unprofessional or would violate Security and Disclosure policies (e.g. user ID, taxpayer name, etc.).

- **Message** - Enter message here.

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- o Do not use language that is unprofessional or would violate Security and Disclosure policies (e.g. user ID, taxpayer name, etc.).

- **Internal Restricted** – Select No.

- **Visible External** – Select Yes.

- **Effective Date** - Defaults to the current date. This field is read-only.

- **Multiple Tax Years** - Check this box if there are multiple tax years in the audit cycle. (This checkbox is not available for BE accounts.)

- **Tax Year or APE** - Enter tax year that corresponds to the primary case unit in PASS.

- **Related Parties** - For tax years with Married Filing Jointly Individuals, select the **Find Related Parties** button to make the message visible to both taxpayers. Select the box next to the spouse's name.

Select the **((**************))** button to send the message.

STEP 4:

Document the sent MyFTB Message in PASS by recording a Public Contact. Complete the Public Contact window as follows:

- **Contact Type** - Select "((*********))".

- **Subject** - Enter "((******************))".

- **Comment** – Enter the DLN of the MyFTB Message. The DLN of the MyFTB Message can be located in the Document Details page.

Select the **OK** button to save the Public Contact to the event log.

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29.7.3 Receive MyFTB Message	MyFTB allows taxpayers and representatives to send a message (with or without attachments) to FTB. When a message is received from a taxpayer or representative via MyFTB, a CORR case is created and routed to the appropriate auditor's Worklist. The Process Assignment will display

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	in the auditor's Worklist as "Process-MyFTB Message".

CAUTION: Do not respond to a taxpayer's MyFTB Message using the MyFTB Send Message feature, unless the response is deemed an informal communication. For more information refer to MAP 29.7.2 Send MyFTB Message.

All CORR cases for MyFTB Messages must be completed in CM, and recorded and stored in PASS following the applicable procedures:

MAP 29.7.3.1 MyFTB Message Received without Attachments – Not Audit Issue Specific
MAP 29.7.3.2 MyFTB Message Received without Attachments – Audit Issue Related
MAP 29.7.3.3 MyFTB Message Received with Attachments

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| **29.7.3.1 MyFTB Message Received without Attachments - Not Audit Issue Specific** | The auditor may receive from the taxpayer, a MyFTB message without any attachments, and containing no information related to audit issues (i.e., field audit scheduling, general information, etc.).

Follow the steps provided below to appropriately process the MyFTB Message in CM and record it in PASS:

STEP 1:

On the My Worklist page, select the ((*******)) link for the Process – MyFTB Message assignment. The Correspondence page will display.

The **Assignment Details** field displays the **Attention** and **Message** fields as entered by the external customer on MyFTB.

STEP 2:

On the Correspondence page, complete the following fields:

- **Correspondence Type**: From the dropdown list, select the appropriate choice based on program area:

    o NBA – "BE Corporation" |

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	o PIT, PTE, RES – "PIT Correspondence"
	• **Contact Reason**: From the dropdown list, select "General Information/Request for Information".
	NOTE: When processing a MyFTB Message CORR case, <u>do not</u> change the category from "MyFTB Message" to another category.
	STEP 3:
	In the Lower Tabs section of the Correspondence page, select the ((******)) tab, and complete the following fields as indicated:
	• **Subject** - Enter "Audit"
	• **Notes** - Enter "Recorded as Public Contact in PASS"
	Then select the **((********))** button to save the case note.
	STEP 4:
	Select the **Submit** button.
	STEP 5:
	Record receipt of the MyFTB Message in PASS, following procedures in MAP 28.6.4.1 MyFTB Message Received – Not Audit Issue Specific.
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29.7.3.2 MyFTB Message Received without Attachments - Audit Issue Related	The auditor may receive from the taxpayer, a MyFTB message without any attachments, but that does contain information related to audit issues.
	Follow the steps provided below to appropriately process the MyFTB Message in CM and record it in PASS:
	STEP 1:
	On the My Worklist page, select the ((*******)) link for the Process – MyFTB Message assignment. The Correspondence page will display.

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The **Assignment Details** field displays the **Attention** and **Message** fields as entered by the external customer on MyFTB.

STEP 2:

On the Correspondence page, complete the following fields:

- **Correspondence Type**: From the dropdown list, select the appropriate choice based on program area:

  - NBA – "BE Corporation"
  - PIT, PTE, RES – "PIT Correspondence"

- **Contact Reason**: From the dropdown list, select "General Information/Request for Information".

NOTE: When processing a MyFTB Message CORR case, <u>do not</u> change the category from "MyFTB Message" to another category.

STEP 3:

In the Lower Tabs section of the Correspondence page, select the ((******)) tab, and complete the following fields as indicated:

- **Subject**: Enter "Audit"

- **Notes**: Enter "Referenced in the PASS Received Correspondence folder"

Then select the **((********))** button to save the case note.

STEP 4:

Select the **Submit** button.

STEP 5:

Record receipt of the MyFTB Message in PASS, following procedures in MAP 28.6.4.2 MyFTB Message Received – Audit Issue Related.

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29.7.3.3 MyFTB Mesage Received With Attachments	The auditor may receive from the taxpayer, a MyFTB message with one or more attachments.
	
	Follow the steps provided below to appropriately process the MyFTB Message in CM and record it in PASS:
	
	STEP 1:
	
	On the My Worklist page, select the ((********)) link for the Process – MyFTB Message assignment. The Correspondence page will display.
	
	The **Assignment Details** field displays the **Attention** and **Message** fields as entered by the external customer on MyFTB.
	
	A Document link will be available in the Document List section for each attachment included by the taxpayer in the MyFTB message.
	
	STEP 2:
	
	On the Correspondence page, complete the following fields:
	
	• **Correspondence Type**: From the dropdown list, select the appropriate choice based on program area:
	
	    o NBA – "BE Corporation"
	    o PIT, PTE, RES – "PIT Correspondence"
	
	• **Contact Reason**: From the dropdown list, select "General Information/Request for Information".
	
	NOTE: When processing a MyFTB Message case, <u>do not</u> change the category from "MyFTB Message" to another category.
	
	STEP 3:
	
	In the Lower Tabs section of the Correspondence page, select the ((*****)) tab, and complete the following fields as indicated:
	
	• **Subject** - Enter "Audit"

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- **Notes** - Enter "Referenced in the PASS Received Correspondence folder"

Then select the **((********))** button to save the case note.

STEP 4:

Select the **Submit** button.

STEP 5:

In the Document Information section, update the following fields as indicated:

- **Tax Year** <u>or</u> **APE** - Input tax year that corresponds to the Primary Case Unit in PASS.

- **Multiple Tax Years -** Select the **Yes** radio button if there are multiple tax years in the audit cycle.

- **Internal Restricted -** If the correspondence contains sensitive information, select the **Yes** radio button for **Internal Restricted**, otherwise select **No**. For more information refer to MAP 29.3.5 Internal Restriction of Sensitive Information.

STEP 6:

Select the **Save & Close** button.

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STEP 7:

Record receipt of the MyFTB Message, and store all attached documents in PASS, following procedures in MAP 28.6.4.2 MyFTB Message Received – Audit Issue Related.

- **Tax Year** or **APE** - Input tax year that corresponds to the Primary Case Unit in PASS.

- **Multiple Tax Years -** Select the **Yes** radio button if there are multiple tax years in the audit cycle.

- **Internal Restricted -** If the correspondence contains sensitive information, select the **Yes** radio button for **Internal Restricted**, otherwise select **No**. For more information refer to MAP 29.3.5 Internal Restriction of Sensitive Information.

STEP 6:

Select the **Save & Close** button.

STEP 7:

Record receipt of the MyFTB Message, and store all attached documents in PASS, following procedures in MAP 28.6.4.2 MyFTB Message Received – Audit Issue Related.

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29.7.4 MyFTB Message Not Received in Worklist	If a taxpayer sends a MyFTB Message to the auditor, and the message is reflected in the entity's Taxpayer Folder, but not on the auditor's Worklist, do the following:
	
	• Note the CORR case ID of the MyFTB message in the entity's Taxpayer Folder.
	
	• Perform a search in CM for the CORR case.
	
	• Select the ((*******)) link to access the CORR case.
	
	• Complete the Process Assignment, beginning with Step 2 of the applicable procedures:
	
	    o MAP 29.7.3.1 MyFTB Message Received without Attachments – Not Audit Issue Specific
	
	    o MAP 29.7.3.2 MyFTB Message Received without Attachments – Audit Issue Related
	
	    o MAP 29.7.3.3 MyFTB Message Received with Attachments
	
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29.8 TPF PREFERENCES ITEM	The taxpayer's preferences can be edited in two ways: • By the taxpayer via their MyFTB account • By the auditor via TPF The auditor can edit the following preferences: MAP 29.8.1 Preferred Language MAP 29.8.2 Notification Preference MAP 29.8.3 Disable/Re-Enable MyFTB Access Rev. 7/17

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29.8.1 Preferred Language	Language preferences must be set when a language other than English has been identified as a taxpayer's preferred language of communication. The taxpayer's Preferred Language can be edited in two ways: • By the taxpayer via their MyFTB account • By the auditor via TPF Edit a taxpayer's Preferred Language as follows: • From the Left Navigation menu, select the Preferences item. ○ If the entity has multiple accounting member records, the Preference List page displays. Select the ((****************)) link for the correct member record. • Select the **Edit Preference** button to navigate to the Edit Preferences page. • Select the **Interpreter Needed** checkbox, as applicable. • Select the appropriate **Language** (other than English) from the dropdown list. • Select the **Save & Close** button. Rev. 7/17
29.8.2 Notification Preferences	The Notification Preference indicates how a taxpayer prefers to be contacted: US Mail or Email. In addition to these primary methods of contact, there is also an option for the taxpayer to be notified via text message. MAP 29.8.2.1 US Mail or Email MAP 29.8.2.2 Text Notification Rev. 7/17
29.8.2.1 US Mail or Email	The Notification Preference field defaults to "US Mail" until changed by the taxpayer via MyFTB. If the field displays "US Mail", it cannot be edited by auditors. When the Notification Preference field is updated by the taxpayer, two radio button choices will appear: "US Mail" or "Email", and the "Email" radio button will be selected. The Email field

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will also appear underneath the radio buttons reflecting the email address provided by the taxpayer.

The auditor should not change the Notification Preference "Email" setting unless:

- The taxpayer requests that electronic communication be disabled, or

- The email provided is determined to be invalid.

If one of the above situations occurs, edit the Notification Preference as follows:

- From the Left Navigation menu, select the Preferences item.

    o If the entity has multiple accounting member records, the Preference List page displays. Select the ((****************)) link for the correct member record.

- Select the **Edit Preference** button to navigate to the Edit Preferences page.

- Select the **US Mail** radio button.

- Select the **Save & Close** button.

Taxpayers may contact auditors with questions relating to their Notification Preference settings. The following table provides suggested responses/advice for three different possible scenarios:

IF	AND	THEN
Taxpayer asks "Why did I receive an email?"	Notification Preference is set to "Email"	Advise taxpayer that their preferred method of contact is set to "Email" in their MyFTB account.
		If the taxpayer indicates that they do not want to be contacted via email, then edit their Notification Preference to reflect "US Mail" using the procedures provided in this section.

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Taxpayer asks "Why did I not receive an email?"	Notification Preference is set to "US Mail"	Advise the taxpayer they have not set their preferred method of contact to "Email" in their MyFTB account. If the taxpayer indicates that they would like to be contacted via email, then advise the taxpayer to opt into electronic notification via their MyFTB account.
Taxpayer asks, "Why did I receive a notice by mail instead of by email?"	Notification Preference is set to "Email"	Advise the taxpayer that some notices are still required to be sent via US Mail regardless of taxpayer notification preferences.

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29.8.2.2 Text Notification	The Text Notification field defaults to "No" until changed by the taxpayer via MyFTB. If the field displays "No", it cannot be edited by audit staff. When the Text Notification field is updated by the taxpayer, a checkbox will appear, and will be selected. The Phone Number field will also appear underneath the checkbox reflecting the cell phone number provided by the taxpayer. The auditor should not change the Text Notification setting unless: • The taxpayer requests that electronic communication be disabled, or • The phone number provided is determined to be invalid. If one of the above situations occurs, update the Text Notification as follows: • From the Left Navigation menu, select the Preferences item.

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	○ If the entity has multiple accounting member records, the Preference List page displays. Select the ((****************)) link for the correct member record.
	
	  • Select the **Edit Preference** button to navigate to the Edit Preferences page.
	
	  • Deselect the **Text Notification** checkbox.
	
	  • Select the **Save & Close** button.
	
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29.8.3 Disable/Re-Enable MyFTB Access	Auditors should not disable a taxpayer's MyFTB access unless:
	
	  • Requested by the taxpayer to do so, or
	
	  • To avoid an unauthorized disclosure.
	
	The system automatically disables access to a MyFTB account when a document association is updated for a document that has already been viewed via MyFTB. If the system automatically disables MyFTB access, an activity log is created with the text "Disclosure Case Created" in the Details field.
	
	A taxpayer can request to have their MyFTB access to be re-enabled.
	
	MAP 29.8.3.1 Disabling MyFTB Access
	MAP 29.8.3.2 Re-enabling MyFTB Access
	
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29.8.3.1 Disabling MyFTB Access	A taxpayer's access to their MyFTB account can be disabled by audit staff as follows:
	
	  • Select the **((******************))** button on the Preference Detail page.
	
	  • Select the **((**********************))** checkbox.

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	• Add a **Comment** explaining why the access was disabled. The comment must always begin with 'MyFTB Access'. For instructions on how to Edit Preferences to disable MyFTB access in TPF, refer to the Global Help for TPF. For more information on when to Edit MyFTB Access, refer to the EPM. Rev. 7/17
29.8.3.2 Re-enabling MyFTB Access	If a request is made to re-enable a taxpayer's MyFTB access, the auditor must first: • Review comments to ensure that they do not contain instructions pertaining to re-enabling the taxpayer's MyFTB access. • Confirm the request with the taxpayer, if the request was made by someone else (e.g., representative, spouse, etc.). • View the Case List section to confirm that the access was not disabled due to a Disclosure (DSCL) case. If a DSCL case exists, MyFTB access cannot be re-enabled until the DSCL case is completed by a Disclosure Analyst. If the auditor determines that a taxpayer's MyFTB access should be re-enabled, contact a supervisor. Auditors do not have system authorization to re-enable MyFTB access for a taxpayer. Auditors should refer to the following table when contacted by a taxpayer regarding their disabled MyFTB account.

IF	AND	THEN
Multiple Accounting Members Exist (Individuals only)	Entity is requesting access to their MyFTB account and wants to know why access has been disabled.	1. Respond to Taxpayer with the following script: *I apologize for any inconvenience this may have caused. Franchise Tax Board takes data security very seriously. This feature is unavailable while we work to verify the accuracy of your account and restore your service. Until such time, I'm glad to assist you with any of your tax needs.* 2. Refer to MAP 29.6.1.2 Data Inspector Referral for Member Records

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TPF Taxpayer Status is one of the following: • Invest • ID Theft • Suspended	Entity is requesting access to their MyFTB account and wants to know why access has been disabled.	1. Respond to Taxpayer with the following script: *I apologize for any inconvenience this may have caused. Franchise Tax Board takes data security very seriously. This feature is unavailable while we work to verify the accuracy of your account and restore your service. Please check your account access in 10 business days. Until such time, I'm glad to assist you with any of your tax needs.* 2. Follow up with the appropriate unit (determined by Taxpayer Status), to ensure that the issue will be resolved by that unit.
TPF Taxpayer Status is "Review in TI"	Entity is requesting access to their MyFTB account and wants to know why access has been disabled.	Contact ABS to have status released, if possible.
POA declaration is in process of being revoked	Entity is requesting access to their MyFTB account and wants to know why access has been disabled.	Inform the taxpayer that once the POA declaration has been revoked, access will be re-enabled.
MyFTB account is Documented for Inappropriate use	Entity is requesting access to their MyFTB account and wants to know why access has been disabled.	Per Disclosure Unit, respond to Taxpayer with the following script: *I apologize for any inconvenience this may have caused. Franchise Tax Board takes data security very seriously. This feature is unavailable while we work to verify the accuracy of your account and restore your service. Please check your account access in 10 business days. Until such time, I'm glad to assist you with any of your tax needs.*

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	If MyFTB access is enabled, but the taxpayer is still unable to access their MyFTB account, respond with the following script: *I apologize for any inconvenience this may have caused. Franchise Tax Board takes data security very seriously. This feature is unavailable while we work to verify the accuracy of your account and restore your service. Please check your account access in 10 business days. Until such time, I am glad to assist you with any of your tax needs.* If after 10 days the taxpayer's MyFTB access issue is not resolved, provide the taxpayer with resources as directed in MAP 29.7.1.2 Reporting MyFTB Incidents. For more information on when to Edit MyFTB Access, refer to the EPM. Rev. 7/17
29.9 MYFTB DISCLOSURE ISSUES	MAP 29.9.1 Visible External Document with Incorrect Entity Association Rev. 7/17
29.9.1 Visible External Document with Incorrect Entity Association	There is a potential unauthorized disclosure issue if a document is incorrectly associated to an entity and is marked Visible External. The procedures to handle this situation will vary depending on whether or not the document has been viewed via MyFTB. To determine if a document has been viewed via MyFTB, locate the document. In the Associated Entities section of the Document Details page, the date when the document was first viewed will populate in the First Viewed Externally field. If the field is blank, the document has not been viewed via MyFTB.

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	MAP 29.9.1.1 Document with Incorrect Entity Association – Viewed via MyFTB MAP 29.9.1.2 Document with Incorrect Entity Association – Not Viewed via MyFTB Rev. 7/17

29.9.1.1 Document with Incorrect Entity Association - Viewed via MyFTB	If a document is incorrectly associated to an entity, and the document has been viewed via MyFTB, an unauthorized disclosure has occurred. The following actions must be taken:
	
	• Update the document's entity association to remove the entity from the document. Refer to the CM Global Help instructions for how to Unassociate an Entity from a Case.
	
	    o If the document contains information relating to multiple taxpayers refer to MAP 29.6.3 Correspondence Case Contains Information for Multiple Taxpayers before updating the entity association.
	
	• Remove the unassociated entity's information from the Document Context Information section. For instructions on how to Update Document Context, refer to the Global Help for TPF.
	
	    o If applicable, update the Document Context Information section with the newly associated entity's information.
	
	• Change the Visible External setting for the respective Activity Log. Refer to MAP 29.6.5.2 How to Update Visible External Setting for Activity Logs.
	
	• Confirm a DSCL case was created by reviewing the Case List section. This case should be created automatically.
	
	• Use the Disclosure Access Reporting and Tracking System (DARTS) to report the unauthorized disclosure within 24 hours of the incident, and notify the respective supervisor.
	
	Access to the affected taxpayer's MyFTB account is automatically disabled for the taxpayer or POA Representative, until the DSCL case is resolved by a Disclosure Analyst.
	
	If speaking to the unrelated parties by phone or in person, the following script should be used:

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	Franchise Tax Board takes data security very seriously. I apologize for any inconvenience this may have caused. I will report this potential disclosure to the appropriate internal authorities who will investigate the situation. Until such time your MyFTB account will be disabled as an additional security measure. Please allow 5 business days for processing.
	For more information, refer to Update Document to Entity Association in the EPM.
	Rev. 7/17
29.9.1.2 Document with Incorrect Entity Association - Not Viewed via MyFTB	If a document is incorrectly associated to an entity, but the document has not been viewed via MyFTB, an unauthorized disclosure has not occurred. However, the following actions still must be taken:
	- Confirm the document was not viewed via MyFTB by verifying that the First Viewed Externally field is blank. The First Viewed Externally field is located in the Associated Entities section of the Document Details page. - Unassociate the document from the incorrect entity and associate the document to the correct entity. Refer to the CM Global Help instructions for how to Unassociate an Entity from a Case. - If the document contains information relating to multiple taxpayers refer to MAP 29.6.3 Correspondence Case Contains Information for Multiple Taxpayers before updating the entity association. - Remove the unassociated entity's information from the Document Context Information section. For instructions on how to Update Document Context, refer to the Global Help for TPF. - If applicable, update the Document Context Information section with the newly associated entity's information. - Change the Visible External setting for the respective Activity Log. Refer to MAP 29.6.5.2 How to Update Visible External Setting for Activity Logs.
	For more information, refer to Update Document to Entity Association in the EPM.
	Rev. 7/17