E-file Status Dashboard Features and Functionality

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The **E-File Status Dashboard** is a plan-level tool designed to track and manage all active **Form 5330** filings for a specific plan and filing year.

Accessing the Dashboard

- Navigate to the **5500 Module**.
- In the **5330 section**, click the **E-File Status** link.
- This redirects to the **E-File Status Dashboard** for the selected plan and filing year. *Scrolling to the right on the grid provides additional filing details.*

On this screen, users can perform various actions as well as review filing details for each form associated with the plan selected.

Work With Signers/Portal Users: Allows users to add or edit portal users associated with the plan for Form 5330 viewing or signing purposes.

Portal Manager: This link to redirect to the Portal Plan level dashboard *only listed for subscribers of ftwPortal Pro.

Invite: These links invite the portal users to view and/or e-file the Form 5330.

> **NOTE**: For detailed steps on the features above please see related articles:
> - Adding Portal Users / Signers to Form 5330
> - Inviting a Portal User to View or Sign the 5330

The grid columns contain the following details:

Company and Plan Name and ID: The following details are pulled from the **Edit Company** and **Edit Plan** screens, not from the Form 5330:
- Company and Plan Name as listed in ftwilliam.com
- Company ID and Plan ID- User assigned fields

EIN- This 9 digit number corresponds to the Sponsor EIN entered on Form 5330, Line E and is automatically populated from the EIN listed on the Edit Company Screen <u>at the time the form is added to the plan</u>.
- If manual updates to Sponsor EIN field are made on the form, it will be reflected on the dashboard.
- *Please note, updating the EIN on the Edit Company screen, or an individual Form will not alter the information on <u>existing</u> locked or unlocked forms.*

Description (Desc.): This (*up to*) 5 character description identifies the specific form associated with the details in the grid. By default the software automatically generates these descriptors in numerical order.

> **NOTE:** The description identifier can be removed or updated to any 5-character name from the draft screen of the 5330, in the upper left-hand corner.

Edit Check Status: The icons indicate the status of the specific forms. Clicking an icon runs an edit check to ensure the form includes all required data for IRS submission. A new window will open with the results, showing any issues that need to be resolved.

✅ A status code of a **green** check indicates the filings are passing edit checks.

⚠️ A status code of a **yellow** caution symbol indicates edit checks have yet to be run.

❌ A status code of **red** x indicates that errors or warnings are present and need to be corrected before the filing can be locked and e-filed.

Lock Status: Selecting the padlock icon will allow you to lock or unlock a filing. Please note if the filing is not passing edit checks the lock icon is disabled. *If a user has been invited to sign, unlocking the filing will remove the option to sign the filing within the portal.*

There are two possible lock statuses:

🔓 **Unlocked:** Changes may still be made to the forms, schedules, or attachments and the option to invite a client to sign is disabled.

🔒 **Locked:** The plan is ready to be e-filed and the options to invite users to sign the filing will populate above the grid. When in a locked status changes are unable to be made to the form, schedules, or attachments unless the filing has been unlocked.

Section ID: Specifies the section of Form 5330 being completed. The IRS requires only one section per form. If this column is blank, it usually indicates multiple unchecked "Blank Section" checkboxes on the form.

Date Locked: Provides a timestamp of when the filing was marked as locked and ready to e-file. Unlocking and re-locking the filing will update this date.

Date Last Invited: Provides a timestamp of the last date the Signer was invited to e-file the Form 5330.

Date Submitted: Provides a timestamp of when the Portal user submits the filing to the IRS.

Date Completed: Provides a timestamp of when the IRS received the filing with an accepted status.

Status: Shows the current filing status of the Form 5330, additional details are provided by clicking on the status link after the filing has been submitted by the Portal user.

- **There are 5 status results:**
    - **Invited**: at least one portal user has been invited to sign the 5330, but the form has not yet been e-filed.
    - **Submitted:** the filer has completed the signing process, but the connection to the IRS server took longer than 3 minutes to supply additional information. A submission date and Receipt ID may still populate unless the filing has failed. *Once the Portal User checks the status of the filing within the sponsor portal this should update to Accepted, Rejected, or Failed.*
        - Please Note: the presence of a receipt ID with a **submitted status** does **NOT** indicate the filing is completed.
    - **Accepted**: the IRS has accepted the filing.
    - **Rejected**: the IRS rejected the submission, corrections must be made, and the filing resubmitted. Clicking the Rejected link will provide the IRS response.
        - Rejected filings will automatically be unlocked for edits.
        - Rejected filings have a 10-day Perfection Period. For more details, see FAQ Q9: What happens if a filing is rejected?
    - **Failed:** the submission had a formatting issue. **Please contact support@ftwilliam.com for details of the failure and how to correct the filing**.

Examples of an **Accepted** Message:

5330 E-File Status ()   x

Acceptance Status:	Accepted
Plan Name:	A.Demo
Plan Number:	001
Plan Year:	2023
Plan Year Begin/End Date:	01/01/2023 - 12/31/2023
Filer Name:	Johnny Test
Date Submitted:	2024-11-22 17:54:59
Section:	C
Payment:	Authorized
Date Accepted:	2024-11-22 17:55:54
SubmissionID:	3999342024326g6mq77g
ReceiptID:	DVDNSJLUKGSHAUXX7EAPL58RQVREJH140LK55JW0H2J6W

Close

Example of a **Rejected** Message:

5330 E-File Status ()   x

Acceptance Status:	Rejected
Plan Name:	A.Demo
Plan Number:	001
Plan Year:	2023
Plan Year Begin/End Date:	01/01/2023 - 12/31/2023
Filer Name:	Johnny Test
Date Submitted:	2024-11-22 17:03:11
Section:	C
Payment:	Authorized
Date Accepted:	N/A
SubmissionID:	3999342024326qhsmbuj
ReceiptID:	5JXP0C619WC6KN6QTGLCHFEEP2WPQBLD1CC89FTX04J7Q

If the return is received on or before the due date of the return, then the 'RequestedPaymentDt' in the IRS Payment Record must be on the due date or before the due date.

Close

Example of a **Failed** Message:

5330 E-File Status ()   x

Acceptance Status:	FAILED
Plan Name:	A.Demo
Plan Number:	001
Plan Year:	2023
Plan Year Begin/End Date:	01/01/2023 - 12/31/2023
Filer Name:	Johnny Test
Date Submitted:	0000-00-00 00:00:00
Section:	C
Payment:	Authorized
Date Accepted:	N/A

Close

Receipt ID: Once the IRS has received the filing, either in Accepted or Rejected status a confirmation Receipt ID will populate in this field.

Amend: options in this column become available after a filing is submitted. If changes are needed, clicking the Amend button unlocks the Form 5330 with the "Amended" box pre-selected. It also creates a new line item on the 5330 E-File Status Dashboard.

> **Important Note:** The **Amend** option on the grid is only available for forms that were originally submitted through the ftwilliam.com software.

Once a filing has been submitted there are two options that will populate in this column.

- **Amend**: This unlocks the Form 5330 with the "Amended" box pre-selected on line H. It also creates a new line item on the 5330 E-File Status Dashboard.
- **Restore**: This option appears on the new line item created when a filing is amended. Selecting it reverts the original filing to its pre-amended state, removing all changes and updates. The filing is returned to its locked status, and the second "amended" listing is removed from the 5330 E-File Status Dashboard.

Amend Version: indicates whether the filing is original* or amended. For filings amended and submitted multiple times, each version is listed as a separate line item, labeled as Amend 1, Amend 2, etc.

> **Important Note:** If a form is manually marked "Amended", and the original filing was **not** submitted through ftwilliam.com, it will still appear on the dashboard as an **original** filing.