

ALABAMA DEPARTMENT OF REVENUE
INDIVIDUAL AND CORPORATE TAX DIVISION
**Software Developer Intent to Participate
and Compliance Agreement for Business
Modernized eFile (MeF) Returns Tax Year 2015**

Departmental Use Only

AL Assigned Test FEINS:

AL Assigned Software
Developer Code:

****A separate ESA-B should be filed per development team for each software vendor****

An authorized representative must sign this Compliance Agreement for the Business Modernized eFile Program, Tax Year 2015. The Alabama Department of Revenue needs to receive this agreement prior to submission of any electronic tax returns (both test and production returns). All primary and secondary software developers that create ADOR MeF returns via their products should complete this agreement.

Submit the completed form to corporate.efile@revenue.alabama.gov prior to submitting test or production returns.

COMPANY NAME		NACTP VENDOR ID	
PRODUCT NAME(S)		EFINS (TEST AND PRODUCTION)	
PRODUCT WEBSITE ADDRESS		ETINS (TEST AND PRODUCTION)	
HELP DESK SUPERVISOR	HELP DESK PHONE NUMBER ()	ESTIMATED TESTING START DATE	
ADDRESS	CITY	STATE	ZIP
PRIMARY CONTACT	PHONE NUMBER ()	FAX NUMBER ()	EMAIL ADDRESS
SECONDARY CONTACT	PHONE NUMBER ()	FAX NUMBER ()	EMAIL ADDRESS
PAPER FORM DEVELOPER CONTACT PERSON	PHONE NUMBER ()	EMAIL ADDRESS	

Please check the box next to the forms your company will be supporting.

Fiduciary Income Tax

- 41 – Fiduciary Income Tax Return
- K-1 for 41 – Fiduciary Income Tax Beneficiary Information
 - NOL-F85 – Computation of Net Operating Loss
 - NOL-F85A – Application of Net Operating Loss Carryback and Carryforward
 - Schedule G – Grantor Statement of Income, Deductions, Credits
 - Schedule ESBT – Worksheet for Electing Small Business and Qualified Subchapter S Trusts
 - Schedule D – Profit or Loss from Sales of Assets
 - Schedule E – Supplemental Income and Loss
 - Form4952A – Investment Interest Expense Deduction
 - Schedule FC – Fiduciary Credit Calculation Schedule
 - IRS1099R, IRSW-2 and IRSW-2G (as utilized in the Form 41 Schema)
 - All worksheets in the Form 41 Schema

Pass-through Entity Tax

- 65 – Partnership/Limited Liability Company Return of Income
- Schedule K-1 – Owner's/Shareholder's Share of Income, Deductions, Credits, etc.
 - Schedule PAB – Pass-through Add Back Form
 - Schedule QIP-C – Qualified Investment Partnership Certificate
 - Schedule PC – Pass-through Credit Calculation Schedule
- 20S – S-Corporation Information/Tax Return
- Schedule K-1 – Owner's/Shareholder's Share of Income, Deductions, Credits, etc.
 - Schedule PAB – Pass-through Add Back Form
 - Schedule NRA – S-Corporation Nonresident Agreement
 - Schedule PC – Pass-through Credit Calculation Schedule
- PTE-C – Nonresident Composite Payment Return

Business Privilege Tax (Tax Year 2016)

- CPT – Business Privilege Tax Return and Annual Report (C-Corporation and Other Specified Entities)
- Schedule AL-CAR – Secretary of State Corporation Annual Report
 - Worksheet BPT-NW (Balance Sheet – Net Worth Computation for Forms CPT and PPT)
- Schedule G – Financial Institution Group Computation Schedule
- Worksheet CPT Financial Consolidated Group Computation (WksCPTFinancialConsGrpComp)
- PPT – Business Privilege Tax Return and Annual Report (Pass-Through Entities)
- Schedule AL-CAR (For S Corps) - Secretary of State Corporation Annual Report
 - Worksheet BPT-NW (Balance Sheet – Net Worth Computation for Forms CPT and PPT)
 - Worksheet BPT-NWI (Balance Sheet – Net Worth Computation for Disregarded Entities with Individual Single Member Only)
- Schedule BPT-E – Family Limited Liability Entity Election Form

Corporate Income Tax

- 20C – Corporate Income Tax Return
- Schedule BC – Business Credits Computation
 - Schedule AB – Corporate Add Back Form
- Consolidated Return Indicator – “This company files as part of a federal consolidated return.”
- 20C-C – Consolidated Corporate Income Tax Return
- Schedule AB – Corporate Add Back Form

Please check all that apply.

Consumer Product (Web based)

Paid Preparer Product (Web Based)

Consumer Product (Desktop)

Paid Preparer Product (Desktop)

I agree to the following rules and regulations for participation in the Alabama Business Modernized eFile Program:

Software Vendor Requirements and Responsibilities

1. You must be an approved IRS vendor to participate in the Alabama Business Modernized eFile Program.
2. Serving as Agents of the Alabama Department of Revenue, all vendors must comply with requirements as stated in Publication 4164 (Alabama Business Modernized eFile Program: Software Developers and Transmitters Guidelines)
3. Development should be in compliance with the electronic schemas and business rule documents.
4. The department must be informed prior to a vendor testing of all software limitations. All main schedules on a return must be supported via XML.
5. All schedules needed to file a particular form must be supported in the format required by the ADOR.
6. All software products must provide the taxpayer a method to attach any and all required documentation to the electronic return when filed.
7. The software vendor must support the printing of tax returns and all supporting forms to allow the user to mail their return if the return cannot be e-filed. The printed returns must be approved by the ADOR for form content and barcode approval prior to final MeF forms approval. The paper forms approval process and MeF testing may be completed simultaneously.
8. All confidential taxpayer information should be secure.
9. The software vendor agrees to only transmit linked returns for the forms 41, 65, 20S, 20C and 20C-C (unless an exception is stated in the business rules or AL 4164).
10. If any changes (not requested by ADOR) are made to approved software you must notify the department of the changes. If necessary, testing of the new product release may be required.
11. The vendor is responsible for notifying the ADOR of any errors found during production that affect the correct filing of any Business MeF returns. An update should be provided to the customers as soon as possible and the department notified once the issue has been resolved.
12. Notify/copy ADOR of any/all messages conveyed publically to Alabama taxpayers via your product.
13. It is the taxpayer's responsibility to timely file the appropriate ADOR tax return. A vendor should not turn off the schemas or business rules to allow a return to be filed without being parsed during production. The perfection period is not an extension to file, it is a period to correct a mistake on a previously e-filed tax return.
14. Submit taxpayer submissions in a timely manner. Submissions should not be held unless the client and ADOR has been notified of the delay
15. For any eFile mandated tax type the software vendor does not have the authority to authorize a taxpayer to paper file a return. The software vendor must contact the ADOR for paper filing approval for any eFile mandated form type.
16. The software vendor must provide an adequate help desk to assist taxpayers or practitioners with software issues or any other problems filing their electronic return.
17. The Alabama Department of Revenue will conduct random review of all software products to verify that the requirements of the Alabama

Business eFile Program are being met. The results will be sent to the programmers for further investigation and any necessary corrections made in a timely manner.

Testing & Approval Process

1. Test submissions should be submitted to the department within the specified testing dates provided on a yearly basis to all software vendors. The testing time period might vary depending on the form type.
2. Test returns must be parsed before they are submitted to the ADOR. If test returns come in that are not parsed the ADOR has the right to refuse review until the issues are fixed by the vendor.
3. If any changes are made after the software has been approved, the department should be notified and a test return with the changes made needs to be resubmitted.
4. The software vendor agrees to withhold advertising Alabama's acceptance of software each tax year, and will not accept Alabama returns until approval has been granted by the Alabama Department of Revenue.
5. The software vendor grants the ADOR the right to display the company name and website link on the approved vendor list on the ADOR website each tax year once the vendor has been approved.

Software Vendor NonCompliance of Form ESA-B

Please initial each of the following:

- ____ 1. The Alabama Department of Revenue reserves the right to revoke the acceptance of a software vendor and thereby refuse any additional returns from such software vendor. Should your product's acceptance become revoked, you agree to remove references from all public materials asserting your product's ability to service Alabama taxes after 48 hours' notice. In addition, the software vendor must provide immediate notice to any clients in the process of filing with Alabama before ceasing Alabama services.
- ____ 2. The Alabama Department of Revenue reserves the right to revoke the acceptance of an electronic originator or transmitter for just cause. Failure to comply with guidelines set forth in Publication AL4164 is just cause.
- ____ 3. Any of the following can result in the revocation of an electronic return originator or transmitter acceptance into the program: (1) Conviction of a criminal offense under the revenue laws of any state or of any offense involving dishonest or breach of trust. (2) Failure to file timely and accurate tax returns, both personal and business. (3) Failure to pay personal tax liabilities or business liabilities. (4) Failure or refusal to effect corrective action as required by the Alabama Department of Revenue. (5) Other facts or conduct of a disreputable nature that would reflect adversely on the Alabama Business MeF Program. (6) Unethical practices in return preparation. (7) Suspension by the IRS.
- ____ 4. All software errors which impact the correct filing of an Alabama tax return identified by the IRS, ADOR or clients must be immediately corrected and an update should be distributed to the software clients within 5 business days. Failure to correct any errors or issues within the time prescribed by the ADOR will result in suspension from the program.

Signature:

As the representative of the above named organization, I agree, on behalf of the organization, to comply with all requirements listed above.

AUTHORIZED REPRESENTATIVE PRINTED NAME

AUTHORIZED REPRESENTATIVE SIGNATURE

DATE

Comments and or Software Limitations:

Contact Information:

Forms 41, 65, 20S and PTE-C

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Forms 20C, 20C-C, CPT and PPT

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