



TAX TRANSFORMATION

S U M M I T

NOVEMBER 3-5, 2019

Incorporating Offline Clients into Your Workflow

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Cathleen F. Foley, CPA, MST

- **National Account Client Success Manager**
- **Over 25 years of public accounting experience with both national and regional firms.**
- **Over 6 years consulting with firms as they integrate technology into their workflow**
- **Speaker at national conferences including: AICPA Practitioners Symposium and Tech+ Conference, Digital CPA Conference and AICPA Tax Strategies for the High Income Individual.**
- **Member of the AICPA, Mass Society of CPA's (Chair of the Taxation Committee's Technology Subcommittee) and the South Shore Health System Charitable Foundation**



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Incorporating Offline Accounts Into Your Workflow

Learning Objective:

Gain a clear understanding of how Offline accounts can be used to standardize and streamline workflow as well as reduce bottlenecks in the preparation process



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Agenda

- Introductions and Housekeeping
- A Look at the Gathering Workflow
- The Inefficiencies of the Gathering Workflow
- Building a More Efficient Workflow Using Technology
- Offline Clients – What Are They, How They Work
- Incorporating Offline Clients into the Workflow

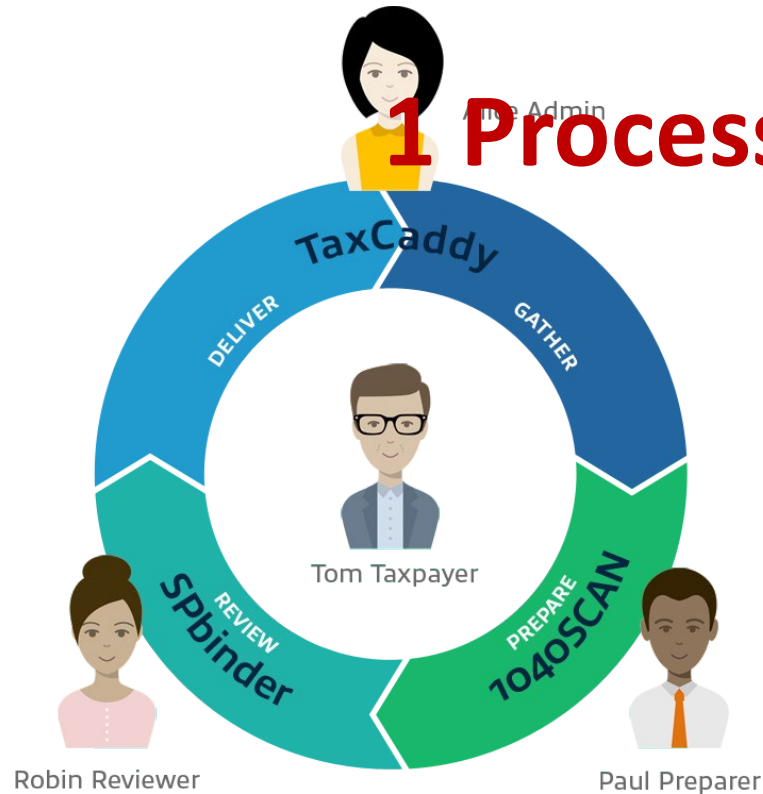
Housekeeping

- CPE Sign In
- Post Event Survey
- Presentations will be made available

What are Offline clients

- TaxCaddy accounts created on behalf of taxpayers, not by taxpayers
- Created by the tax professional
- For those taxpayers who have not yet created a TaxCaddy account or for those taxpayers that will not be invited
- Beyond this, they function the same as taxpayer created accounts

Value of TaxCaddy



1 Process & 1 Platform = 1 Firm

Software Interface (SurePrep) showing client data and status:

Type	Client Name	Client ID	Owner	Location	Done Uploading	Binder Created	Binder Status	Tax Return Uploaded	E-File Auth	Last Activity
Taxpayer	Tax, Tina		Pam Preparer	California						09/03/2019
Taxpayer	Taxpayer, Tom									12/05/2018

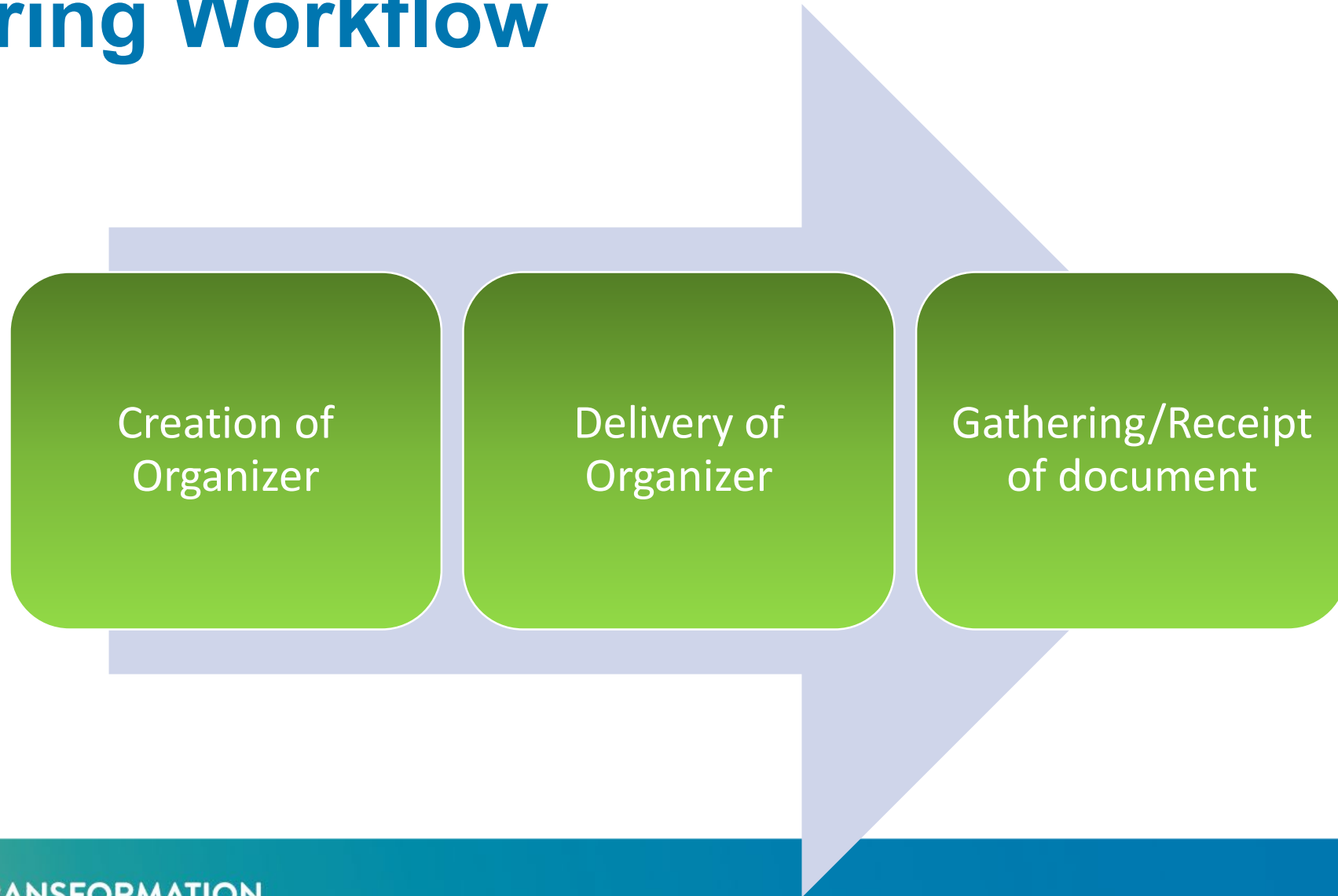
Legend:

- Connected Client** (Green dot)
- Offline Client** (Grey dot)



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Gathering Workflow

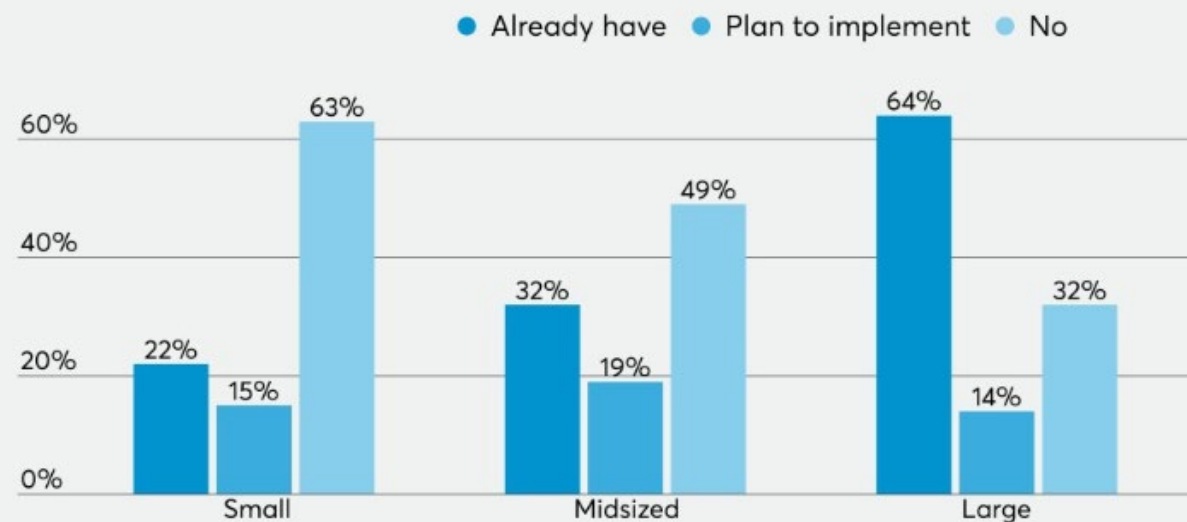


Workflows

oftentimes, processes are designed and implemented haphazardly over the years to meet needs as they occur. And in many cases, business practices have been created based on expediency, not efficiency or productivity.

Accounting Today, October 22, 2019 “6 Steps to fine-tuning your business workflows and processes

Firms' plans for digital workflow solutions



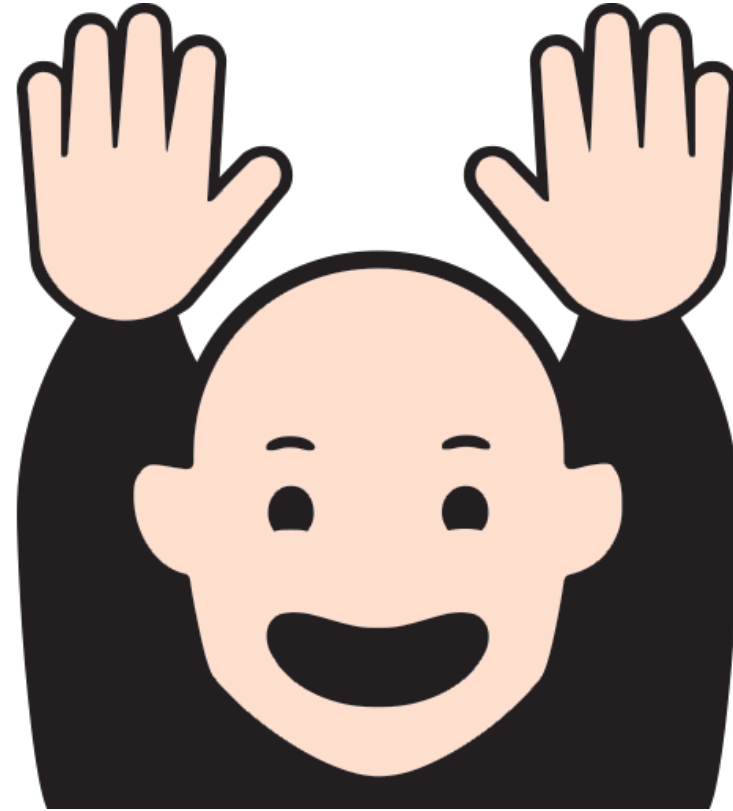
Source: Accounting Today 2019 Year Ahead Survey

Gathering Workflows

- What is the ultimate goal?
 - Gather information as quickly as possible so that the process can begin as soon as possible
 - Eliminate bottlenecks
 - Eliminate extensions
 - Improve utilization of resources
 - Inherent is getting the requested items to the taxpayer as efficiently as possible
 - Any other?

Gathering Workflows

- How much time/money does it take to get the “Organizer” out the door?
- How do we know that we’ve got enough information to start the preparation process
- How is technology being used to identify when the preparation process is ready to begin?



Gathering Workflows ... today



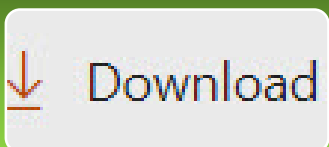
Mail



Email



Drop Off



Download

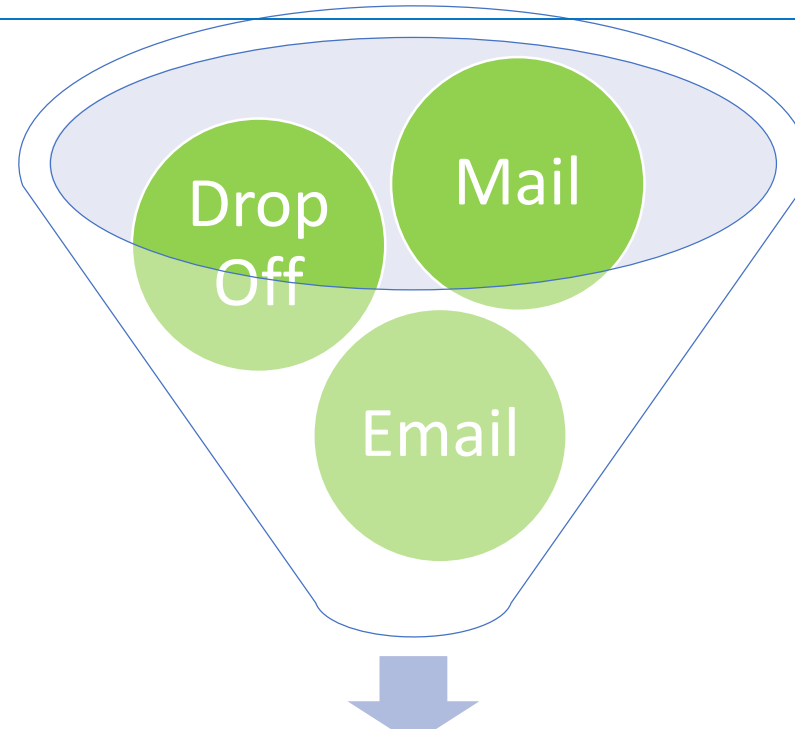


Other



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Gathering Workflow...tomorrow



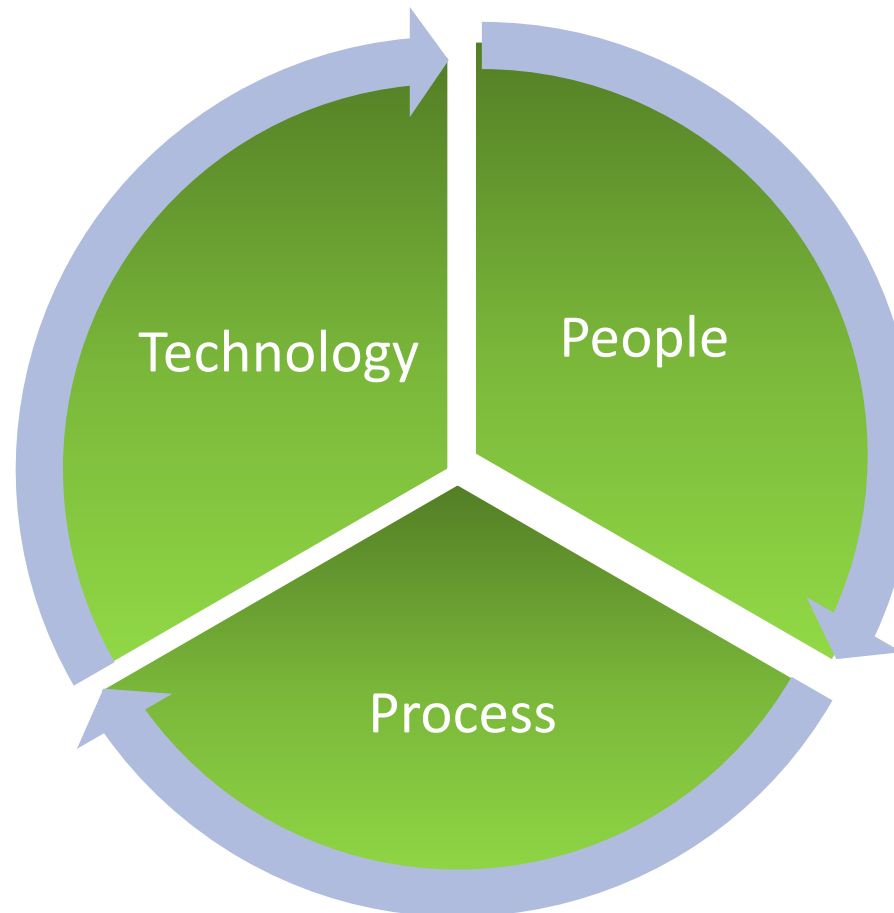
Uploaded to TaxCaddy
and Create New Binder



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Building the new Gathering Workflow

- The right people at the right level
- Process improvement
 - Eliminate personal preferences
 - If there isn't a technical reason or client service reason, is it needed?
 - Reduce number processes
- Utilize technology
 - Manual processes will stay manual, technology is a continuous improvement



TAXCADDY



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TaxCaddy is...

- An online solution to simplify tax time
 - Taxpayer focused
 - Makes creating and gathering tax documents and sharing them with a tax professional a breeze
 - Digitizes the request of information for the tax professional
 - Promotes the end to end electronic workflow
 - Including the automatic retrieval of tax documents (W-2s, 1099s, 1098s)

TaxCaddy Is...

- Digital Request for Information

The screenshot displays the SurePrep TaxCaddy interface. At the top, the header includes the SurePrep logo, firm ID (SPT-44), and the user role (Firm Administrator). A navigation bar contains tabs for Overview, Administrative, Documents, Questionnaire, Messages, Tax Returns, Tax Payments, and Invoices. A status bar at the top right shows various metrics: NEW DOCS UPLOADED, NO SMART LINKS, 1 UNREAD MESSAGE, 5 of 7 REQUESTED ITEMS, 7 DOCS UPLOADED, and 8% OF QUESTIONNAIRE COMPLETED.

The main content area is divided into two sections: Requested Items (7) and Uploaded Documents (7). The Requested Items section is highlighted with a red box and contains a table of documents requested. The table has three columns: Document Name, Requested On, and Status. A red arrow points to the first row, which is for US Bank W-2 (Wages).

Document Name	Requested On	Status
US Bank W-2 (Wages)	01/25/2019 - 10:18 AM	Uploaded
Met Life 1099s (Banks and Brokerages)	01/25/2019 - 10:19 AM	Uploaded
Merrill Lynch 1099s (Banks and Brokerages)	01/25/2019 - 10:19 AM	Does Not Apply
Jills Craft Shop Sch. C (Business Income)	01/25/2019 - 10:20 AM	Uploaded
Maple Street Partners Schedule K-1s	01/25/2019 - 11:03 AM	Replied With Amount
Wells Fargo 1098s (Home Mortgage Interest)	01/25/2019 - 10:19 AM	Not Uploaded

On the right side of the interface, there is a 'Create Binder' button and an 'Activity Feed' section. The Activity Feed shows a timeline of events, including a message from the Firm Administrator on Thursday, April 18, 2019, and a message from the Firm Administrator on Wednesday, February 13, 2019.



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TaxCaddy is...

- Application for gathering taxpayer's documents

The screenshot displays the SurePrep TaxCaddy web application interface. The top navigation bar includes the SurePrep logo, a search bar, and user information (Firm ID: SPT-44, Firm Administrator). Below this, a secondary navigation bar shows tabs for Overview, Administrative, Documents, Questionnaire, Messages, Tax Returns, Tax Payments, and Invoices. A status bar at the top right provides a summary of document status: 1 NEW DOC(S) UPLOADED, NO SMART LINKS, 1 UNREAD MESSAGE, 5 OF 7 REQUESTED ITEMS, 7 DOCS UPLOADED, and 8% OF QUESTIONNAIRE COMPLETED. The main content area is divided into two sections: 'Requested Items (7)' and 'Uploaded Documents (7)'. The 'Uploaded Documents' section is highlighted with a red box and contains a table of uploaded files. A red arrow points to the 'W-2 (Wages) (1)' section of the table. The 'Activity Feed' on the right side shows a log of recent actions, including document uploads and questionnaire completion, also highlighted with a red box.

Document Name	Uploaded On	Size	Last Downloaded
W-2 (Wages) (1)			
<input type="checkbox"/> US Bank W2 US Bank	01/25/2019 - 11:31 AM	43 KB	01/25/2019 - 11:46 AM
1099s (Banks and Brokerages) (2)			
<input type="checkbox"/> Met Life ML 1099	01/25/2019 - 11:32 AM	3 MB	01/25/2019 - 11:46 AM
<input type="checkbox"/> Exxon 1099	01/25/2019 - 11:34 AM	5 MB	01/25/2019 - 11:46 AM

TaxCaddy is...

- A taxpayer focused application that is easy to use... One they will actually use

The screenshot displays the TaxCaddy web application interface. At the top, the 'TAXCADDY' logo is on the left, and a user profile 'Jack S. Anderson' is on the right. Below the logo is a navigation bar with icons and labels for 'Overview' (highlighted), 'Documents', 'Messages', 'Tax Returns', 'Tax Payments', and 'Invoices'. The main content area is divided into several sections:

- Left Panel:** A table with tabs for 'Tax Returns' and 'Tax Payments'. It lists transactions with dates, descriptions, and amounts.

Date	Description	Amount
04/15/2019	US Tr... 2018US ...	\$250.00
06/15/2019	US Tr... 2018US ...	\$250.00
09/15/2019	US Tr... 2018US ...	\$250.00
01/15/2020	US Tr... 2018US ...	\$250.00
- Top Right:** A 'Did you know?' tip about associating messages with questionnaires, with a 'LEARN MORE >' link.
- Middle Right:** An 'Upload Documents:' section with a dashed box and the instruction 'Drag and drop or click to upload documents'.
- Bottom Right:** A 'Requests from BL CPA s' section showing 'You have 4 pending requests'. It lists actions like 'View new 2018 Message', 'View - 2018 Tax Returns (2)', 'View - 2018 Tax Payments (4)', and 'Upload - 2018 Documents (16)' with a status of '16 out of 22 pending'.
- Far Right:** A 'Smart Links' section with an 'Add Smart Link' button and a message about allowing TaxCaddy to retrieve tax documents. Below it is a 'My Linked Accounts' section showing a 'Bank of America' account with an 'ADD NEW' button. At the bottom of this sidebar is a 'Recent Uploads' section listing files like 'W2 US Bank W-2 (Wages)' and 'US BANK W_2 W-2 (Wages)' with their upload dates and times.

What are Offline accounts

- TaxCaddy accounts created on behalf of taxpayers, not by taxpayers
- Created by the tax professional
- For those taxpayers who have not yet created a TaxCaddy account or for those taxpayers that will not be invited
- Beyond this, they function the same as taxpayer created accounts
 - Including ability to utilize Smart Links

Offline Account Is...

- Digital Request for Information

The screenshot displays the SurePrep web application interface. At the top, the user is logged in as Joseph Fraser (JF) with the role of Firm Administrator. The interface includes a navigation bar with 'Overview' and 'Administrative' tabs. A 'Documents' section is active, showing a list of document requests. A table titled 'Document Requests (12)' lists various documents with their requested dates and upload statuses. A sidebar on the right contains a 'Create Binder' button and an 'Activity Feed' showing recent updates. Several elements are highlighted with red boxes: the 'Offline Account' status in the top right, the 'Manage Smart Links' button, the 'Requested Items (12)' and 'Uploaded Documents (3)' tabs, the 'Document Requests' table, and the 'Create Binder' button.

Document Name	Requested On	Status
STANFORD GROUP COMPANY (Spouse) W-2 (Wages)	03/26/2019 - 01:56 PM	Does Not Apply
US NATIONAL BANK (Taxpayer) W-2 (Wages)	03/26/2019 - 01:56 PM	Uploaded
MELLON INVESTOR SERVICES (XXX-1099s (Banks and Brokerages)	03/26/2019 - 01:56 PM	Not Uploaded
THE WALT DISNEY COMPANY (XX6-1099s (Banks and Brokerages)	03/26/2019 - 01:56 PM	Does Not Apply
JILL'S CRAFT SHOP (Spouse) Sch. C (Business Income)	03/26/2019 - 01:56 PM	Uploaded
LPL FINANCIAL - XX XXXXX2565 (T-1099-R (Retirement)	03/26/2019 - 01:56 PM	Not Uploaded



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Offline Account Is...

- Application for gathering taxpayer's documents

The screenshot displays the SurePrep web application interface. At the top, the 'SurePrep' logo is on the left, and 'Firm ID: SPT-44' and 'Firm Administrator' are on the right. Below the header, there's a navigation bar with 'Overview' and 'Administrative' tabs. The main content area is titled 'Documents' and includes a 'TAX YEAR 2018' dropdown. A red box highlights the 'Manage Smart Links' button in the top right. Another red box highlights the 'Offline Account' button in the top right corner. A third red box highlights the 'Create Binder' button on the right sidebar. The main area shows a list of documents under the heading 'Uploaded Documents (3)'. A red box highlights the 'US NATIONAL BANK (Taxpayer) US BANK W_2' document. Below this, there are sections for 'Sch. C (Business Income)(1)' and 'Schedule K-1s(1)', each with a table of documents. The 'US NATIONAL BANK' document is also highlighted with a red box. The right sidebar shows an 'Activity Feed' with a date filter for 'THURSDAY, AUGUST 15, 2019' and a list of activities.

SurePrep

Firm ID: SPT-44 Firm Administrator

Overview Administrative

TAX YEAR 2018 JF Joseph Fraser - PHASE - PROVIDE INFO

2 OF 2 SMART LINKS Offline Account

Documents Manage Smart Links Unfollow Client

Requested Items (12) Uploaded Documents (3) Download

Drag and drop or click to upload documents like W-2s, 1099s, 1098s, Schedule K-1s, etc.

selectAll

W-2 (Wages)(1)

Document Name	Uploaded On	Size	Last Downloaded
<input type="checkbox"/> US NATIONAL BANK (Taxpayer) US BANK W_2	08/12/2019 - 12:39 PM	70 KB	...

Sch. C (Business Income)(1)

Document Name	Uploaded On	Size	Last Downloaded
<input type="checkbox"/> JILL'S CRAFT SHOP (Spouse) JILL_S CRAFT SHOP SCHED C	08/12/2019 - 12:39 PM	21 KB	...

Schedule K-1s(1)

Document Name	Uploaded On	Size	Last Downloaded
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Create Binder

Status: Create New Binder

Activity Feed

THURSDAY, AUGUST 15, 2019

JF Joseph Fraser 9:53 AM Cathy has updated the 'Smart Link' with USBank.

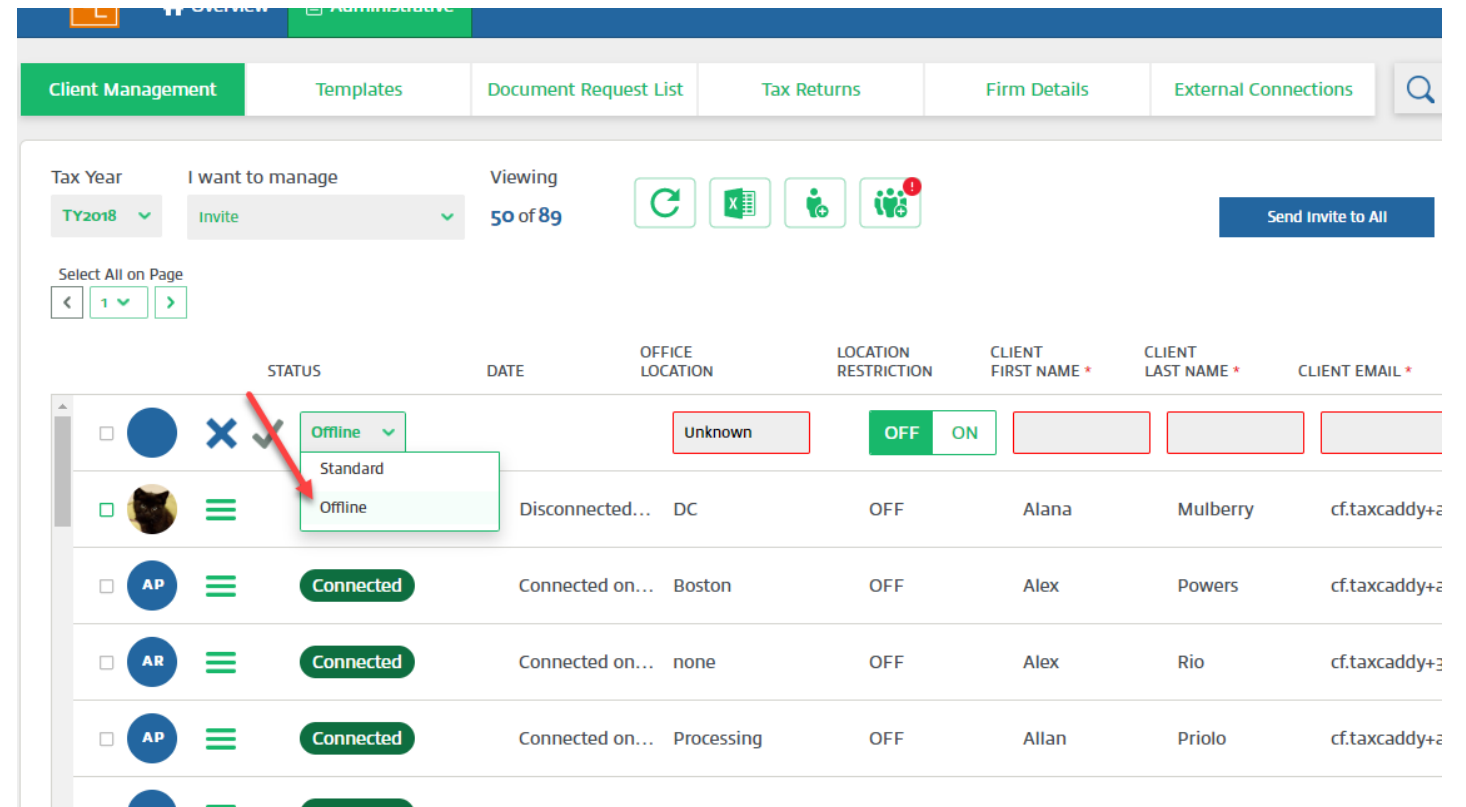
JF Joseph Fraser 9:52 AM Cathy has updated the 'Smart Link' with USBank.

JF Joseph Fraser 9:51 AM Cathy has added a new 'Smart Link' with USBank.

JF Joseph Fraser 9:50 AM Cathy has updated the 'Smart Link' with Bank of America.

Offline Account Is...

- Created by the tax professional and used to eliminate workflows



The screenshot displays the 'Client Management' section of a software interface. At the top, there are tabs for 'Client Management', 'Templates', 'Document Request List', 'Tax Returns', 'Firm Details', and 'External Connections'. Below these tabs, there are filters for 'Tax Year' (set to 'TY2018'), 'I want to manage' (set to 'Invite'), and 'Viewing' (set to '50 of 89'). A 'Send Invite to All' button is also present. A table lists client accounts with columns for 'STATUS', 'DATE', 'OFFICE LOCATION', 'LOCATION RESTRICTION', 'CLIENT FIRST NAME', 'CLIENT LAST NAME', and 'CLIENT EMAIL'. The first row shows a client with a status dropdown menu open, highlighting 'Offline' and 'Standard' options. A red arrow points to the 'Offline' option. The table contains several rows of client data, including 'Alana Mulberry', 'Alex Powers', 'Alex Rio', and 'Allan Priolo'.

	STATUS	DATE	OFFICE LOCATION	LOCATION RESTRICTION	CLIENT FIRST NAME *	CLIENT LAST NAME *	CLIENT EMAIL *
<input type="checkbox"/>	Offline		Unknown	OFF ON			
<input type="checkbox"/>	Offline	Disconnected...	DC	OFF	Alana	Mulberry	cf.taxcaddy+z
<input type="checkbox"/>	Connected	Connected on...	Boston	OFF	Alex	Powers	cf.taxcaddy+z
<input type="checkbox"/>	Connected	Connected on...	none	OFF	Alex	Rio	cf.taxcaddy+z
<input type="checkbox"/>	Connected	Connected on...	Processing	OFF	Allan	Priolo	cf.taxcaddy+z

Offline Accounts

Create
the
DRL

Client Management

Templates

Document Request List

Tax Returns

Firm Details

External Connections

stanley

Tax Year

I want to manage

Viewing

TY2018

Create Custom DRL

2 of 1

2

Create DRL for All

Create DRL fo

Select All on Page

<

1

>

1

STATUS

DATE

OFFICE
LOCATION

LOCATION
RESTRICTION

CLIENT
FIRST NAME *

CLIENT
LAST NAME *

CLIENT EMAIL

CLIENT M

☐

SS

Eligible For Import

Boston

OFF

Stanley

Sureprep

cf.taxcaddy+56@gma...



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Offline Accounts

Once the
DRL is
created ...

The screenshot shows the 'Client Management' section of a software interface. At the top, there are tabs for 'Client Management', 'Templates', 'Document Request List', 'Tax Returns', 'Firm Details', and 'External Connections'. Below these tabs, there are filters for 'Tax Year' (set to 'TY2018'), 'I want to manage' (set to 'Create Custom DRL'), and 'Viewing' (set to '1 of 1'). There are also icons for refresh, export to Excel, and user management. A 'Create DRL for All' button is on the right. Below the filters, there is a 'Select All on Page' section with a dropdown set to '1'. The main part of the interface is a table with the following columns: STATUS, DATE, OFFICE LOCATION, LOCATION RESTRICTION, CLIENT FIRST NAME *, CLIENT LAST NAME *, and CLIENT EMAIL. The first row of the table shows a client with the status 'Completed' (highlighted with a red box), a date 'Completed o...', office location 'Boston', location restriction 'OFF', first name 'Stanley', last name 'Surerep', and email 'cf.taxadd@...'. There are also icons for selection and a menu icon next to the status.

STATUS	DATE	OFFICE LOCATION	LOCATION RESTRICTION	CLIENT FIRST NAME *	CLIENT LAST NAME *	CLIENT EMAIL
Completed	Completed o...	Boston	OFF	Stanley	Surerep	cf.taxadd@...




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Offline Accounts

Send the DRL to populate the client profile

The screenshot shows the 'Client Management' tab in the TaxCaddy interface. The 'Tax Year' is set to 'TY2018'. A dropdown menu is open, showing 'Send DRL' as an option. The table below shows a client named Stanley Surrep with a status of 'Not Sent'.

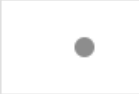

STATUS	DATE	OFFICE LOCATION	LOCATION RESTRICTION	CLIENT FIRST NAME *	CLIENT LAST NAME *	CLIENT EMAIL *
<input checked="" type="checkbox"/> SS  Not Sent		Boston	OFF	Stanley	Surrep	cf.taxcaddy+



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Offline Accounts

Offline accounts are identified by a Grey button

Type	Client Name	Client ID	Owner	Location	Done Uploading	Binder Created	Binder Status	Tax Return Upload
	2018 Stanley, Surrep		Cathy Foley	Boston				
	2019 Stanley, Surrep		Cathy Foley	Boston				



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Offline Accounts

Client profile is populated with requested information and has the same functionality as a Taxpayer created account

The screenshot displays the 'Offline Accounts' section of a software interface. At the top, there's a navigation bar with 'Overview' and 'Administrative' tabs. Below this, a client profile for 'Stanley Surerep' is shown, including a 'TAX YEAR 2018' dropdown and a 'PHASE - PROVIDE INFO' status. A 'Documents' tab is active, showing a list of 'Document Requests (24)'. The table below lists four requests, all with a 'Not Uploaded' status. A red box highlights the 'Follow Client' button in the top right. Another red box highlights the 'Document Requests' table, and a third red box highlights the 'Not Uploaded' status labels. The right sidebar shows a 'Status' section and an 'Activity Feed' with a message from the 'Firm Administrator'.

Document Name	Requested On	Status
STANFORD GROUP COMPANY (Sp... W-2 (Wages)	10/01/2019 - 08:02 PM	Not Uploaded
US NATIONAL BANK (Taxpayer) W-2 (Wages)	10/01/2019 - 08:02 PM	Not Uploaded
MELLON INVESTOR SERVICES (XXX... 1099s (Banks and Brokerages)	10/01/2019 - 08:02 PM	Not Uploaded
THE WALT DISNEY COMPANY (XX6... 1099s (Banks and Brokerages)	10/01/2019 - 08:02 PM	Not Uploaded

Offline Accounts

- Let's Jump In



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Q & A



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