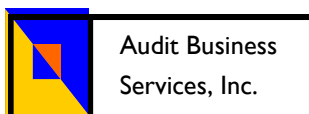


## COMPLIANCE LOGBOOK TY2017

1. TY 2016 Statement Mailing Procedures and Proof Mailing
2. TY 2016 Return Filing Procedures and Proof of Filing
3. TY 2017 Form W-9 Initial Solicitation Procedures and Sample Form
4. Spring B-Notices CP2100 for TY 2015
5. Annotated Listing of Spring B-Notices Showing Research Results
6. Fall B-Notices CP2100 for TY 2016
7. Annotated Listing of Fall B-Notices Showing Research Results
8. Proposed Penalty Assessment Notice (972 CG for FY 2015 (\$50 Penalties)
9. Annual Solicitation for Missing or Incorrect TINs (Other than B-Notices)
10. Training Log
11. List of Companies for Which Information Reporting is Performed
12. Memos and Correspondence

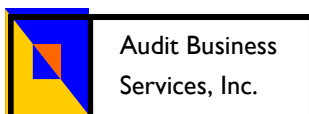


# Annotated listing of Fall B-Notice showing research results 8

Use the IRS Notice 972CG tracking sheet to document your response to the Notice 972CG proposing \$50 penalties for failures related to your Tax Year 2015 Form 1099 filing.

This notice is usually mailed by the IRS in August. You have 45 calendar days to respond to this notice. A model waiver request letter is included in this section for your use. If IRS does not receive your response within 45 days, IRS will assess the penalty plus interest.

*Note: IRS sends far fewer Notice 972CG penalty notices than they send CP2100 or CP2100A B-Notices, so that even if your organization receives a B-Notice that does not necessarily mean you will receive a Penalty Notice.*





**IRS Notice 972-CG (Proposed Penalty Notice)**

**Compliance Tracking Sheet**

Date on Notice: \_\_\_/\_\_\_/\_\_\_ (Postmark date on IRS envelope: \_\_\_/\_\_\_/\_\_\_)

Total # of Payees on Notice: \_\_\_\_\_ Amount of proposed penalty: \$\_\_\_\_\_

Breakdown of payee accounts on notice:

# for late-filed return: \_\_\_\_\_; # for too many on paper: \_\_\_\_\_; # for name/TIN mismatch \_\_\_\_\_

**Deadline to send WAIVER REQUEST letter to IRS: \_\_\_/\_\_\_/\_\_\_**

(Calculate 45 calendar days from date on notice or date on IRS envelope, whichever is later.)

VERIFICATION (check and complete all that apply):

Waiver Request letter prepared by: \_\_\_\_\_ Waiv-  er Request letter signed by: \_\_\_\_\_  
Name \_\_\_\_\_ Name: \_\_\_\_\_  
Title \_\_\_\_\_ Title \_\_\_\_\_  
Employee ID# \_\_\_\_\_ Employee ID# \_\_\_\_\_

Copy of letter maintained at: \_\_\_\_\_

Waiver Request letter sent on time.  Copies made of 972-CG notice and letter  
Date sent: \_\_\_/\_\_\_/\_\_\_ Stored at: \_\_\_\_\_  
Signed-off by: \_\_\_\_\_ Signed-off by: \_\_\_\_\_  
Name \_\_\_\_\_ Name \_\_\_\_\_  
Title \_\_\_\_\_ Title \_\_\_\_\_  
Department \_\_\_\_\_  
Employee ID# \_\_\_\_\_

**Date of IRS reply: \_\_\_/\_\_\_/\_\_\_ (Postmark on IRS Envelope) \_\_\_/\_\_\_/\_\_\_**

VERIFICATION

Copy of IRS reply letter maintained at \_\_\_\_\_

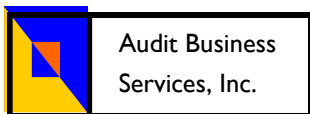
Penalties waived in full?  Yes  No

If Yes, signed off by: Name, Title \_\_\_\_\_

If No, Appeal Letter prepared by: \_\_\_\_\_ and sent to IRS on \_\_\_/\_\_\_/\_\_\_

Appeal approved?  Yes  No

If no, explain next action taken: \_\_\_\_\_





The rest of this section is the “reasonable cause waiver request letter” Insert appropriate information here.

