



Wolters Kluwer
Law & Business

ftwilliam.com
Compliance Software
User Group Meeting

Meeting #31 - December 1, 2015

Agenda

- Reminders for year end
- Portal options
 - Census files
 - Annual questionnaire options
- Recent enhancements
- Open forum

Jane Nickalls

Reminders for Year-end

Reminders for Year End

- Preparation – before adding 2015, make sure 2014 is clean & complete
 - Data Scrub is run
 - ADP/ACP test is run if prior year testing method
 - Top Heavy test is run
- Add ending balance batch on transaction menu and post
- Run statements or one of the vesting export reports
 - To use loan module or miscellaneous tasks

Reminders for Year End

- Add 2015 PYE
- Option to copy plan specifications from plan document or prior year on compliance
 - Default is prior year on compliance
- If plan is restated to PPA document, remember that if you opt to copy specs from the document they need careful review
 - More flexible provisions in PPA doc make some mapping difficult

Reminders for Year End

Company:	My Company	ID:	
Plan:	My Company JN 2013 Demo Plan	ID:	
Checklist:	Volume Submitter 401(k) - EGTRRA		
Details:	EIN: 12-3456789 • PN: 003 • PYE: December 31		
Year End:	12/31/2014		
	Add New Year End		
	12/31/2014		
	12/31/2013		

Add Year End

New Year End:	12/31/2015
Specs to copy:	<input checked="" type="radio"/> 12/31/2014 <input type="radio"/> 12/31/2013 <input type="radio"/> ftwilliam Plan Document System

Cancel Add Year End

- Default is next calendar or fiscal year

Reminders for Year End

- Always add year-ends sequentially
 - Can't change a year end once added – only option is to delete and re-add
- Never add a year that's earlier than the first year added
- List of things to review if copying PPA doc

Reminders for Year End

- Download census worksheet to send to client for updates
 - Click 'Download' and select 'Prior'
 - Includes all census data except hours, compensation & contributions
 - Does not show hire & term dates
- Send via portal or other secure method

Reminders for Year End

- When uploading the census, option for year two & later on upload screen to copy the fields from prior year OR Upload with census
- The System default is Yes, i.e. copy from Prior Year even if there's different data on the census

Ownership %

Family Group

Family Group Relationship

Officer status

New Comparability Group

Employee Class

Employee Class Other



Reminders for Year End

Retain prior year codes

Selecting "Yes" will copy Ownership %, Family Code, Family relationship, Officer, Cross Test group codes, EE class, and EE class other from prior year census even if these items are on the current year census.

OK



Census Upload

Currently selected census grid: Sample Census (comp and comp after elig) (ID: c5debf8)

With Map: Yes

Retain prior year codes: Yes

Select a file: Browse...

Number of rows to ignore: 5

Number of rows containing data: 1 Data must begin in the first column.

Cancel Upload

Reminders for Year End

- Second and subsequent years should not need to use overrides for eligibility, HCE etc.
- If using employee number rather than SSN, the EE# must be consistent from year to year.
- If uploading employer contributions remember to set overrides on Allocation Parameters screen before running the Data Scrub
- 2015 transactions
 - Add beginning balance batch on transaction menu and post unless you plan to import this data from the vendor

Reminders for Year End

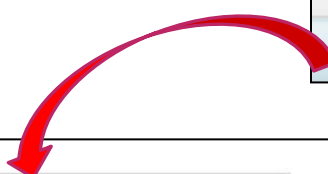
- Sample EOY checklist is available in the forum under 'Miscellaneous'
 - Access the forum at <https://ftwilliam.zendesk.com/home>
- Please review the check list and let us know suggestions to improve it










Janice Herrin
Using the Portal
and Online Annual
Questionnaire

Options for Portal Customers

- From Compliance menu select Census=>Portal Files
 - Census Worksheet & Annual Questionnaire files can be exchanged with client
 - Online Annual Questionnaire can be edited & published

Edit
Download
Upload
Create/Edit Grids
Other Import/Export/Reports
Portal Files



File Type	To Portal User	From Portal User	Final	Batch
Census Worksheet	 Load Prior			
Annual Questionnaire				
Online Annual Questionnaire	Edit / Publish			

[Edit Portal Users](#)



[Portal](#)

[Invite Griffin Cat to the portal](#)

Census Worksheet Options

- To Portal User – TPA can post census worksheet for client to access
 - Load Prior option adds last year’s census file without hours, comp etc.
 - Manual option allows TPS to upload a custom file
 - Client can download & upload or edit on the portal
- From Portal User – TPA can access updated worksheet
 - Option to ‘Make Final’ and upload in a single click
- Batch options also available – need ‘Specify a Server email setting

Other Options on Portal Files Screen

File Type	To Portal User	From Portal User	Final	Batch	
Census Worksheet	 Load Prior				Edit Portal Users
Annual Questionnaire					Portal
Online Annual Questionnaire	Edit / Publish				Invite Griffin Cat to the portal

- Edit Portal Users – change permissions, view user portal
- Portal link – to main portal home page
- Invite to portal – generate email

Janice's Favorite Portal Feature

The screenshot displays a web portal interface with two main sections: 'Portal Users' and 'Documents'. The 'Portal Users' section includes a dropdown menu labeled 'Select Portal User', a note that '*** indicates the number of unread messages the portal user has sent.', and three buttons: 'Manage User', 'Message Manager', and 'View User Portal'. A red arrow points to the 'View User Portal' button. Below these buttons are several links: 'Upload Portal Users / Edit Grid', 'Portal Link', 'Invite Census Portal Users', 'Portal User Help', and 'Download History'. The 'Documents' section contains a 'Document Manager' button and a 'Batch Upload' link. At the bottom, there is a 'Global Portal Settings' section with an 'Edit Module Admins' link.

- Can see what the portal user sees without logging in as them
- View access only

Portal User View of Census

ToDo List	
ToDo	Days
Upload Census Worksheet My Company JN 2013 Demo Plan - Admin - 12/31/2015	13
Complete Census Worksheet My Company JN 2013 Demo Plan - Admin - 12/31/2015	13
Online Annual Questionnaire My Company JN 2013 Demo Plan - Admin - 12/31/2015	0

Edit Census Worksheet

<input type="checkbox"/>	Last_Name	First_Name	SSN	Employee_Number	Birth_Date	Date of Hire (1)	Date of Termination
<input type="checkbox"/>	Bacall	Lauren	111-11-1111		2/3/1981		
<input type="checkbox"/>	Ball	Lucy	111-11-1112		2/1/1976		
<input type="checkbox"/>	Bogart	Humphrey	111-11-1113		2/4/1971		
<input type="checkbox"/>	Burton	Richard	111-11-1114		2/1/1989		
<input type="checkbox"/>	Davis	Bette	111-11-1115		2/10/1987		
<input type="checkbox"/>	De Havilland	Olivia	111-11-1116		2/9/1962		
<input type="checkbox"/>	Fonda	Henry	111-11-1117		2/5/1957		
<input type="checkbox"/>	Gable	Clark	111-11-1118		2/2/1952		
<input type="checkbox"/>	Grant	Cary	111-11-1119		02/06/1985		
<input type="checkbox"/>	Hepburn	Audrey	111-11-1120		2/3/1948		
<input type="checkbox"/>	Hepburn	Katharine	111-11-1121		2/1/1977		
<input type="checkbox"/>	Kelly	Grace	111-11-1122		2/7/1987		

Note: Be sure to save changes periodically in case of timeout.

Instructions

Click on a cell to edit the cell's contents. New rows are added automatically while editing the last row in the table. When you are done editing, click the "I'm Done" button to submit the census worksheet.

Column Description

- Last_Name** Enter the employee's last name
- First_Name** Enter the employee's first name
- SSN** Enter the employee's social security number
- Employee_Number** Enter the employee number assigned by the employer
- Birth_Date** Enter the employee's date of birth

Questionnaire Options

- Manually upload your own questionnaire to portal
- Use Online Annual Questionnaire (OAQ)
 - Edit plan by plan or customize a default questionnaire
 - Re-order questions, import new questions, determine range of answers
 - Add 'Plan questions' – populate from checklist
 - Publish to portal for client to access and fill out

Editing the Online Annual Questionnaire

- Edit the default version from the Portal Files screen in an individual plan or from the WK button => Administrative Tasks => Defaults
- Any changes saved will impact the default version available for all users
 - Can always reset to original default version
- These options are available to designated 'Admins' only

Editing the OAQ for a Plan

- Starting point is the default version under your account
- Once edits are made you can save the new version and it will be available for other plans

File Type	To Portal User	From Portal User	Final	Batch	
Census Worksheet	Load Prior				Edit Portal Users
Annual Questionnaire					Portal
Online Annual Questionnaire		Edit / Publish			Invite Griffin Cat to the portal

[Edit Default Online Annual Questionnaire](#)

Online Annual Questionnaire Options

Title:

Disable the file upload option

Publish to the portal

Online Annual Questionnaire Questions

Prompt	Type	Req	Default	
Company Information	Group			
Name:	Text	<input checked="" type="checkbox"/>	<input type="text"/>	
Mailing Address:	TextArea	<input checked="" type="checkbox"/>	<input type="text"/>	
Business Type (C Corp, LLP, etc.):	Text	<input checked="" type="checkbox"/>	<input type="text"/>	
If the business is a sole proprietor, partnership, or LLC/LLP, is it:	List	<input checked="" type="checkbox"/>	<input type="text"/> <input type="text"/>	
EIN:	Text	<input checked="" type="checkbox"/>	<input type="text"/>	
Fiscal Year End:	List	<input type="checkbox"/>	Yes <input type="text"/>	
If Yes indicate year end	Text	<input type="checkbox"/>	<input type="text"/>	
Business Code (from corporate tax return / Form 5500):	Text	<input type="checkbox"/>	<input type="text"/>	
Filing an extension on corporate tax return?	List	<input type="checkbox"/>	No <input type="text"/>	
Names / compensation of owners and percentage owned:	TextArea	<input type="checkbox"/>	<input type="text"/>	

Publish OAQ to Portal

Company: **My Company**
Plan: **My Company JN 2013 Demo Plan**
Year: **12/31/2015**

[Edit Default Online Annual Questionnaire](#)

Online Annual Questionnaire Options

Title:

Disable the file upload option

Publish to the portal

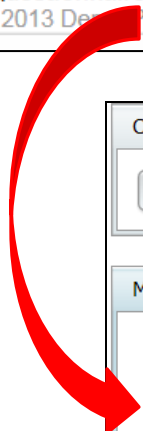
| |

Online Annual Questionnaire Questions

Prompt	Type	<input type="checkbox"/> Req	Default	
Plan Sponsor Information	Group			
Name of adopting employer (Plan Sponsor):	Text	<input type="checkbox"/>	My Company	
Plan Sponsor address line 1:	Text	<input type="checkbox"/>	123 Main Street	
Plan Sponsor address line 2:	Text	<input type="checkbox"/>	Suite 301	
Plan Sponsor city:	Text	<input type="checkbox"/>	Milwaukee	
Plan Sponsor zip:	Text	<input type="checkbox"/>	53202	
Plan Sponsor phone AC/Number:	Text	<input type="checkbox"/>	414 226-2442	

Portal User View

ToDo List	
ToDo	Days
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Online Annual Questionnaire Options

Download / Print Browse... Upload File

My Company JN 2013 Demo Plan Online Annual Questionnaire

A. Plan Sponsor Information

1. Name of adopting employer (Plan Sponsor):

2. Plan Sponsor address line 1:

3. Plan Sponsor address line 2:

4. Plan Sponsor city:

5. Plan Sponsor zip:

6. Plan Sponsor phone AC/Number:

7. A fiduciary, counsel, or employee of the plan; e.g. an investment manager or attorney

Janice Herrin

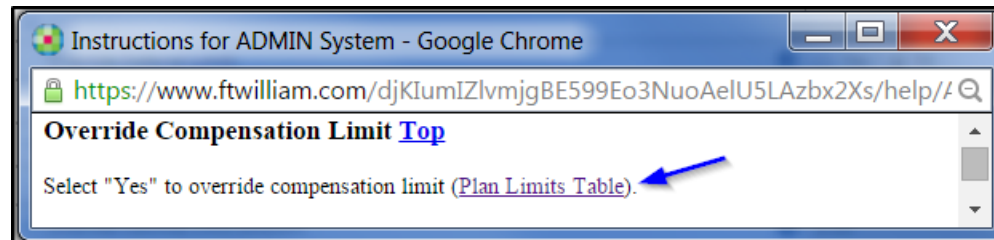
Recent Enhancements

Recent Enhancements

- Transactions
 - Several vendor name changes
 - Updates to Mass Mutual & Hartford
 - Files from Lincoln, American and Hartford-MFS can now be uploaded with or without a header row
 - New error report for batch uploads
 - Transaction data can be pushed to the testing side
 - Either from vendor files or manually added files

Recent Enhancements

- 5500 Data Report
 - Line numbers added
 - '1' rather than 'X' used to make summing easier
- **Scrub Parameters**
 - Plan limits table has been updated for 2016 includes 2003-2016 limits



Open Forum



Open Forum

- Today's discussion on the OAQ and portal was requested by user group members...thank you!
- Next meeting – Tuesday, January 5, 2016
- Ideas for future agenda items?
- Questions, thoughts, suggestions.....
- Thank you for attending and Happy Holidays to all our customers!