

ftwilliam.com Compliance User Group Meeting

Thursday
November 8, 2018

Agenda

- The ftw Payroll module
- Reminders for year-end
- Portal options
- Wrap-up



The ftwilliam Payroll Module

Payroll Module Capability

- Allows users to upload data from individual payrolls
 - SSN
 - Name
 - Hours
 - Compensation
 - Pay & deposit dates
 - Source & account codes
 - Contributions
- Sample file & explanation of codes are available from the upload screen
- Any file uploaded in error can be replaced by a corrected file

Payroll Module Capability

Home > Edit Company > Edit Plan > Compliance > Transactions > Payroll [Updates](#) [Help](#)

Company: ABC Company Inc ID:
Plan: 2017 Demo Plan JN ID:
Year End: 12/31/2017

Pay Date Range: Begin: 01/01/2017 End: 12/31/2017
Payroll Record Name: Show All

Upload Payroll

Compliance Menu

- ◀ Census
- Tasks
- ◀ Transactions**
- ◀ Miscellaneous
- ◀ Tools/Settings
- ◀ Plan Specifications

Transactions
Vendor Uploads
Loans
Distributions
Payroll
Participant Transactions
Reports / Statements

SN	Last Name	First Name	Hours	Compensation	Pay Date	Deposit Date	SourceID	AccountID	Contributions	Balance	
<input type="checkbox"/>	SSN	Last Name	First Name	Hours	Compensation	Pay Date	Deposit Date	SourceID	AccountID	Contributions	Batch
<input type="checkbox"/>	111-11-1116	Bennet	Henry	80.00	14,423.08	01/18/2017	01/26/2017	401K	VENDOR	923.08	
<input type="checkbox"/>	111-11-1115	Dashwood	Mary	80.00	14,423.08	01/26/2017	02/03/2017	401K	VENDOR	923.08	
<input type="checkbox"/>	111-11-1119	De Bourgh	Catherine	80.00	5,000.00	01/27/2017	02/04/2017	401K	VENDOR	807.69	
<input type="checkbox"/>	111-11-1118	D	F	80.00	2,500.00	01/27/2017	01/24/2017	401K	VENDOR	600.00	

Do with selected: [Export current view to CSV](#)

- Advanced filtering available

Payroll Module Capability

- To add a new payroll click the Upload Payroll link

Payroll Upload

[Sample File](#)
[Explanation of Codes](#)

Payroll Name: ?

Upload file name: No file chosen

Overwrite existing payroll

- Sample file below

SSN	Last Name	First Name	Hours	Compensa	Pay Date	Deposit Date	SourceID	AccountID	Contributions	
123-45-67	EELast	EEFirst	40	800	1/7/2016	1/20/2016	401K	POOLED	100	
123-45-67	EELast	EEFirst	0	0	1/7/2016	1/20/2016	401K	VENDOR	500	

Payroll Module Capability

- Data accumulates
 - Can be compared with and pushed to the census - for the full plan year
 - User can create transaction batches from the data - over any period
- Advanced filtering available:
 - Narrow the date range
 - Search for an individual or payroll name
 - Order the data by any column

Reminders for Year-end

Preparation
Suggestions
Tips

Reminders for Year End

- Preparation - before adding 2018, make sure 2017 & all previous years are clean & complete
 - Data Scrub is run
 - ADP/ACP tests are run if prior year testing method
 - Top Heavy test is run
- If you have balances to bring forward, add an ending balance batch on the transaction menu and post it
- Run statements or one of the financial or vesting reports
 - To use loan module or miscellaneous tasks

Suggestions

- Use the Workflow grid (Tools/Settings=>Workflow) to see what tasks have been run on your plans
- Run one of the vesting export reports (Miscellaneous=>Miscellaneous Reports) for all plans
 - Option to run for all plans is limited to designated admins



Reminders for Year End

Add Year End

New Year End: 12/31/2018

Specs to copy:

- 12/31/2017
- ftwilliam Plan Document System

If the plan document utilizes text fields or "other" options and plan specs are mapped from document, please review mapping for these items carefully. Click [here](#) for complete list of items that do not map.

Cancel Add Year End

- Select 'Add New Year End' - next calendar or fiscal year will populate; change using the calendar icon

– Option to copy plan specs from plan document or prior year on compliance - default is the prior year on compliance

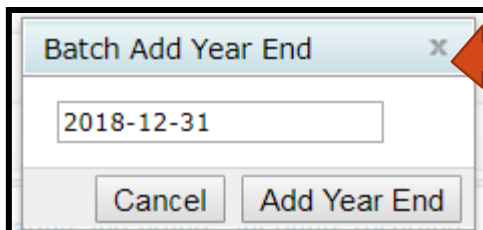
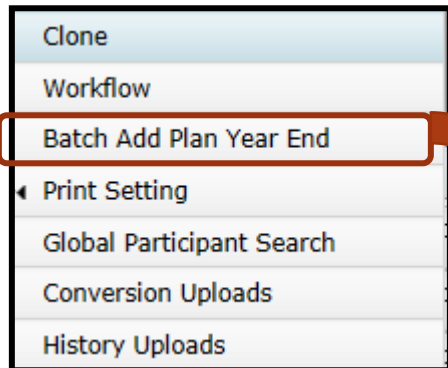
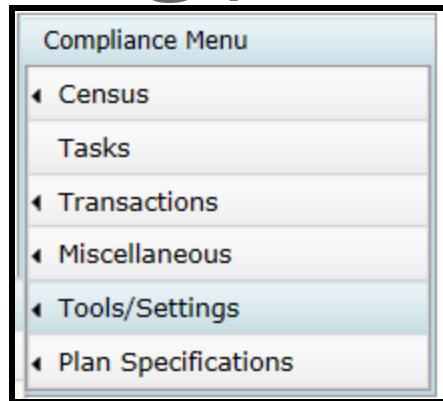
Reminders for Year End

- If you do opt to copy specifications from the document they do still need review
 - Some of the more flexible provisions in PPA documents make some mapping difficult
 - May need to reset accounts & sources/vendor
- Always add year-ends sequentially
 - You can't change a year end once added - only option is to delete and re-add
- **NEVER** add a year that's earlier than a year already added
- **NEVER** skip years

Adding plan year ends in batch

- Feature is available to all users - you don't need to use the ftwilliam.com portal
- From the compliance module in any plan, go to Tools/Settings and select 'Batch Add Plan Year End'
- Brings up a dialogue box to select the year end to add - defaults to the current calendar year

Adding plan year ends in batch



- Choose or enter the year end, you'll see a list of plans to select to the new year end to
- The list will include all plans whose last year end is the year before the one entered
 - E.g. if you use 12/31/2018 you'll get a list of all calendar year plans that have a 12/31/2017 year end but not a 12/31/2018

Adding plan year ends in batch

Batch Add Year End

<input type="checkbox"/>	Company Name	Plan Name 1	Plan Name 2	New Year End	Specs to Bring Forward	Resp	Admin
<input type="checkbox"/>	ABC Company Inc	2017 Demo Plan JM		12/31/2018	12/31/2017	Yes	
<input type="checkbox"/>	ABC Company Inc	ABC Company	Sample Plan 3	12/31/2018	12/31/2017		
<input type="checkbox"/>	ABC Company Inc	ABC Company	Sample 401(k) Pla	12/31/2018	12/31/2017		
<input type="checkbox"/>	ABC Company Inc	ABC Company 201		12/31/2018	12/31/2017	Yes	
<input type="checkbox"/>	ABC Company Inc	ABC Company Inc		12/31/2018	12/31/2017	Yes	
<input type="checkbox"/>	ABC Company Inc	ABC Company Inc		12/31/2018	12/31/2017	Yes	JaneN
<input type="checkbox"/>	ABC Company Inc	ABC Company Inc	Brokerage Account	12/31/2018	12/31/2017	Yes	
<input type="checkbox"/>	ABC Company Inc	ABC Company Inc		12/31/2018	12/31/2017	Yes	JaniceH
<input type="checkbox"/>	abc JBH	abc JBH		12/31/2018	12/31/2017	Yes	
<input type="checkbox"/>	The Fort	Andy JH		12/31/2018	12/31/2017	Yes	
<input type="checkbox"/>	ABC Company Inc	Clone for 2017 Der		12/31/2018	12/31/2017	Yes	
<input type="checkbox"/>	ABC Company Inc	Frank Test Plan		12/31/2018	12/31/2017	Yes	
<input type="checkbox"/>	ABC Company Inc	2017 2015 limits		12/31/2018	12/31/2017	Yes	

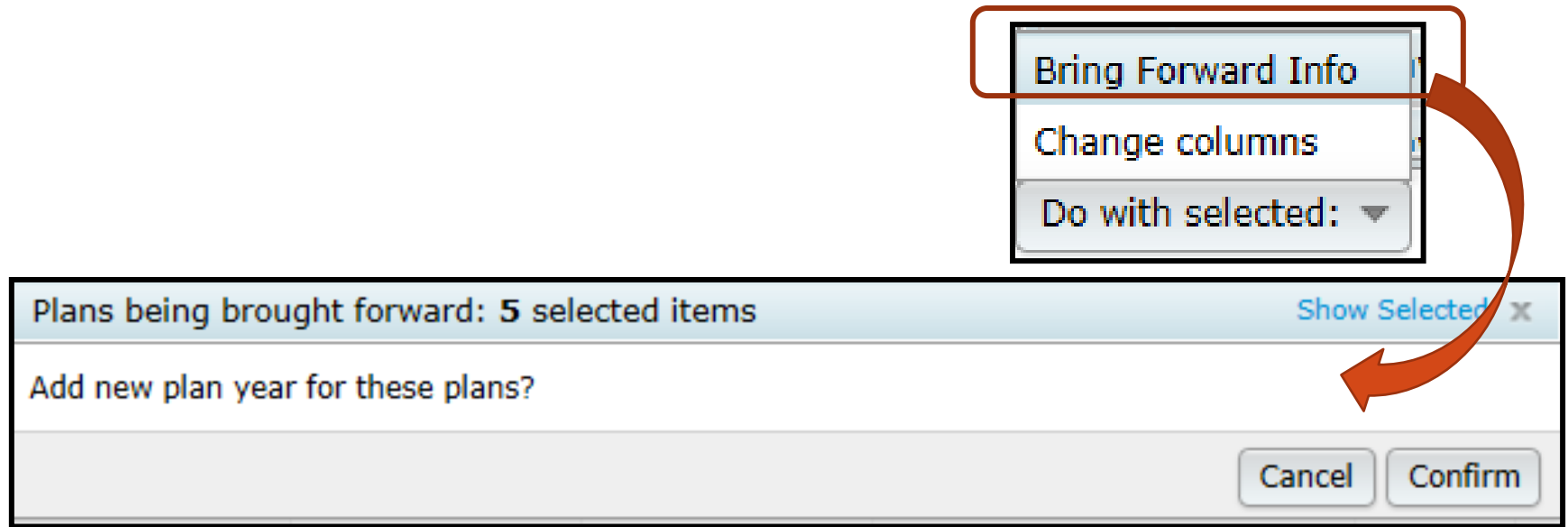
Bring Forward Info
Change columns
Do with selected: ▾

Current View Total: 33 / Number Selected: 0

[Export current view to CSV](#)

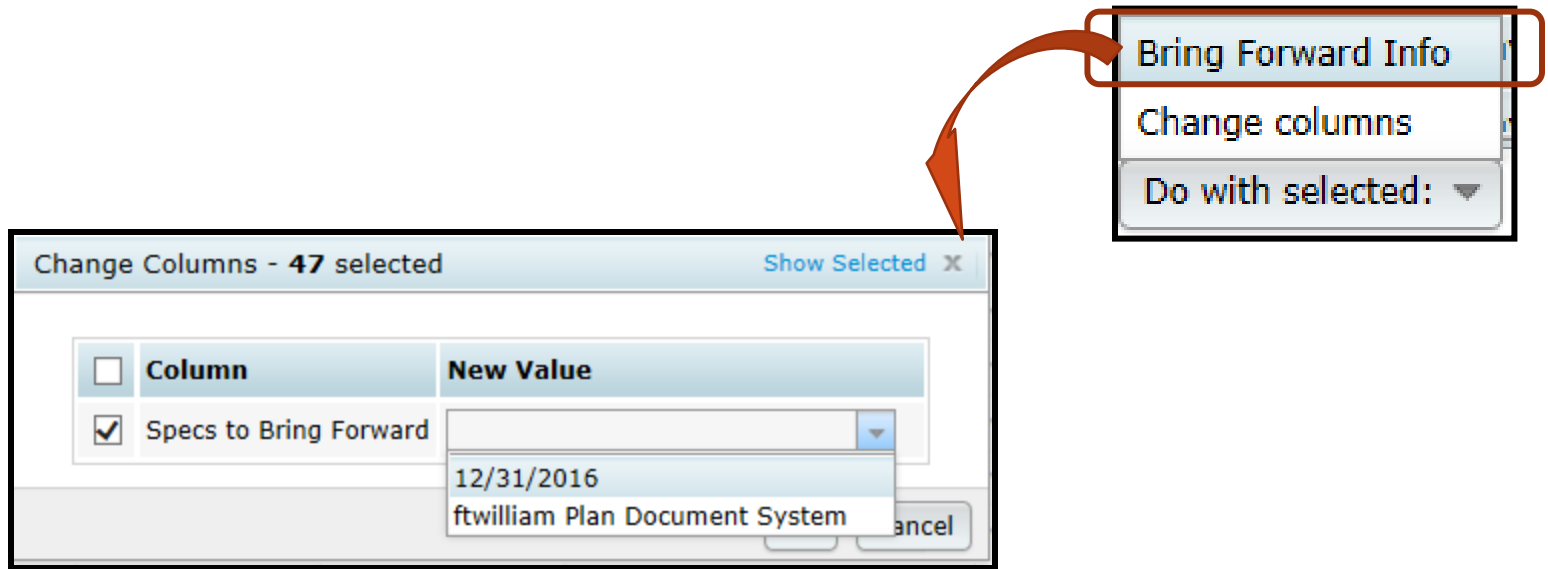
- Select some or all plans and use 'Do with selected' drop-down

Adding plan year ends in batch



- To batch add the year-ends, select the plans and click the 'Bring Forward Info' option
 - Confirm the selection
- Specs will copy from the previous year in compliance

Adding plan year ends in batch



- Option to copy plan specs from plan document
- Can change line by line or select the plans to change and use 'Do with Selected' => 'Change columns' to switch to copying from the document

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 ftw portal or other secure method

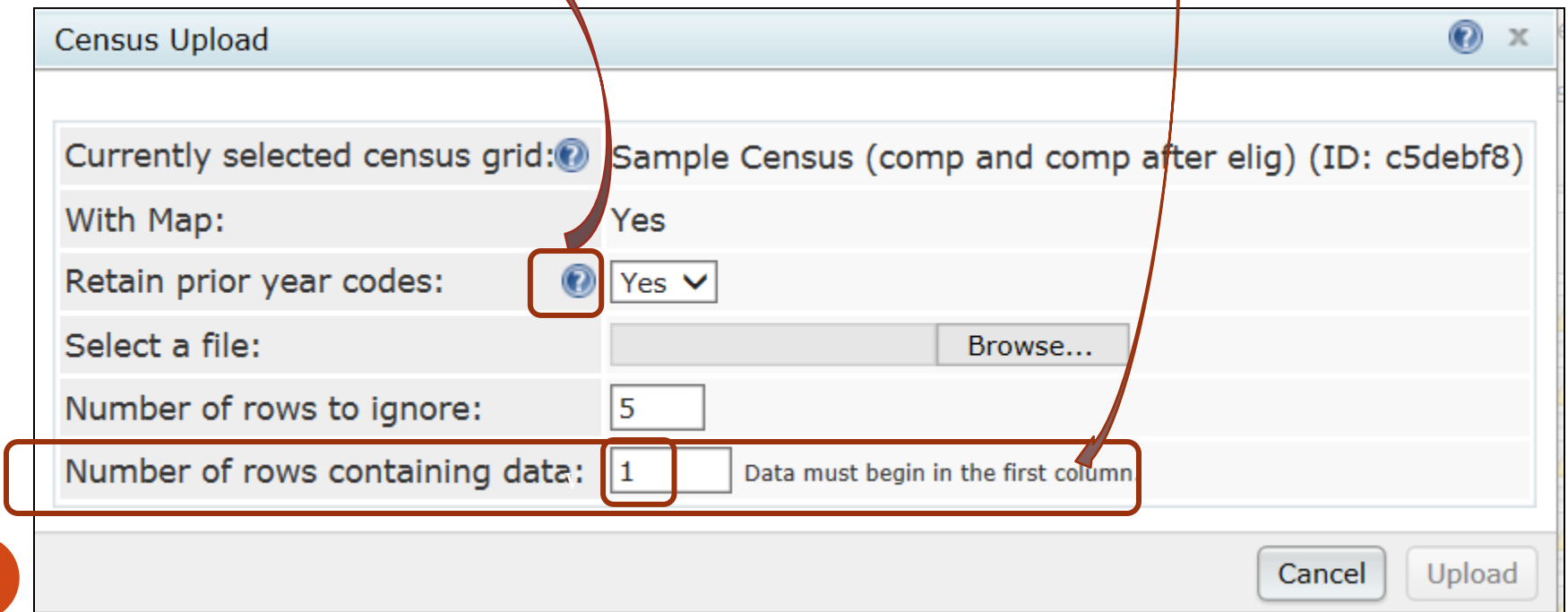
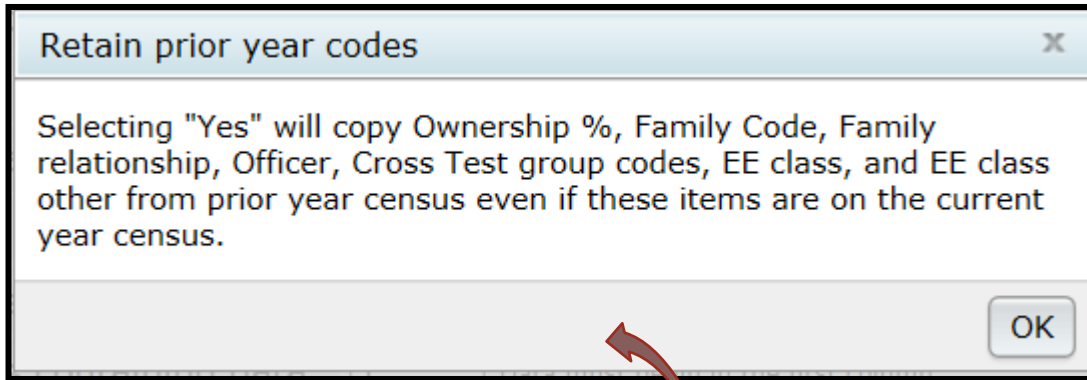
Reminders for Year End

Ownership %
Family Group
Family Group Relationship
Officer status
New Comparability Group
Employee Class
Employee Class Other

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

Reminders for Year End

Enter the number of rows containing data - okay to overestimate



Reminders for Year End

- Second and subsequent years you 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
 - Cannot switch between SSN & EN
 - Avoid using dummy SSNs if possible, however:
 - If you think you will get correct SSNs at a later date, it's easier to use dummy SSNs and change them, rather than using employee numbers
 - Make any necessary corrections to SSN on the Edit Census screen

Reminders for Year End

- If uploading employer contributions remember to set overrides on Allocation Parameters screen **before** running the Data Scrub
 - Contributions will clear when you run the scrub unless the override is set
- 2018 transactions
 - Add a beginning balance batch on the transaction menu (select the prior year ending balance option), and post, unless you plan to import this data from the vendor

Reminders for Year End

- Sample EOY checklist is available in the Help Center under 'Miscellaneous'
 - Access the Help Center from the 'Help' link at the top right of any screen in the compliance module
- Please review the check list and let us know suggestions to improve it

Options for Compliance and Portal Users












Using the portal files screen

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

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

[Home](#) > [Edit Company](#) > [Edit Plan](#) > [Compliance](#) > [Census](#) > Portal Files

Company:	ABC Company Inc	ID:	
Plan:	2017 Demo Plan JN	ID:	
Year End:	12/31/2018		

File Type	To Portal User	From Portal User	Final	Batch
Census Worksheet	 Load Prior Load Current			
Annual Questionnaire				
Participant Statements				
Client Package				
Online Annual Questionnaire	Edit / Publish			

Edit Portal Users
Portal

Census Worksheet Options

- To Portal User - TPA can post census worksheet for client to access - 'Approve' before the client sees it
- Load Prior option adds last year's census file without hours, comp etc.
 - Load Current typically adds blank spreadsheet unless census data has been added
 - Manual option allows TPA to upload a custom file
- 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

Options for Census Upload

- Former or current year census is also a batch level option
 - One choice per batch, can't have some of each in a single batch
- Option to upload a custom spreadsheet is still available either plan by plan or within a batch
- Additional fields to filter and order by are available within the batch census upload

ToDo List	
ToDo	Days
Upload Census Worksheet JN Demo Plan 2015 - Admin - 12/31/2016	0
Complete Census Worksheet JN Demo Plan 2015 - Admin - 12/31/2016	0

Portal user view of the editing census on the portal

Plan Home

Inbox (0)

ToDo List (2)

Download Census Worksheet

Upload Census Worksheet

Edit Census Worksheet

Edit Census Worksheet

	Last Name	First Name	SSN	Birth Date	Date of Hire (1)	Date of Term (1)	Term Reason (1)
<input type="checkbox"/>	Bennett	Elizabeth	111-11-1111	12/6/1985			
<input type="checkbox"/>	Bennett	Henry	111-11-1116	2/14/1957			
<input type="checkbox"/>	Bennett	Jane	111-11-1112	3/8/1983			
<input type="checkbox"/>	Bingley	Caroline	111-11-1121	9/25/1984			
<input type="checkbox"/>	Bingley	Charles	111-11-1120	6/17/1982			
<input type="checkbox"/>	Collins	William	111-11-1117	1/9/1981			
<input type="checkbox"/>	Darcy	Fitzwilliam	111-11-1118	11/29/1984			
<input type="checkbox"/>	Darcy	Georgiana	111-11-1124	4/2/1990			
<input type="checkbox"/>	Dashwood	Elinor	111-11-1114	11/30/1980			
<input type="checkbox"/>	Dashwood	Mary	111-11-1115	7/21/1955			
<input type="checkbox"/>	De Bourgh	Catherine	111-11-1119	6/23/1951			
<input type="checkbox"/>	Ferrars	Edward	111-11-1127	4/16/1979			
<input type="checkbox"/>	Ferrars	Robert	111-11-1128	7/21/1977			

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

Birth Date Enter the employee's date of birth

Date of Hire (1) Select first employment status in plan year

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

ToDo List	
ToDo	Days
Upload Census Worksheet JN Demo Plan 2015 - Admin - 12/31/2016	0
Online Annual Questionnaire JN Demo Plan 2015 - Admin - 12/31/2016	0
Complete Census Worksheet JN Demo Plan 2015 - Admin - 12/31/2016	0

Portal user view of the OAQ

Plan Home

Inbox (0)

ToDo List (3)

Online Annual Questionnaire

Download Census Worksheet

Upload Census Worksheet

Edit Census Worksheet

Online Annual Questionnaire Options

Download / Print Browse... Upload File

JN Demo Plan 2015 Online Annual Questionnaire

A. Company Information

1. **Name:**

2. **Mailing Address:**

3. **EIN:**

4. **Business Type (C Corp, LLP, etc.):**

5. **If the business is a sole proprietor, partnership, or LLC/LLP, is it taxed as a sole proprietor or partnership?**












6. **Trust Identification Number:**

7. **Fiscal Year End:**

Other Options on Portal Files Screen

[Home](#) > [Edit Company](#) > [Edit Plan](#) > [Compliance](#) > [Census](#) > Portal Files

Company:	ABC Company Inc	ID:	
Plan:	2017 Demo Plan JN	ID:	
Year End:	12/31/2018		

File Type	To Portal User	From Portal User	Final	Batch
Census Worksheet	 Load Prior Load Current			
Annual Questionnaire				
Participant Statements				
Client Package				
Online Annual Questionnaire	Edit / Publish			

[Edit Portal Users](#)
[Portal](#)

- Upload participant statements and/or client package - also can do from the reports screen or client package drop-down
- Edit Portal Users - change permissions, view user portal
- Portal link - to main portal home page
- Invite to portal - generate email

Bring forward portal users

- Plan by plan or in batch
- Do this before adding the plan year end, OR after
- Only brings users forward if there are none already added
- To do, go to the portal screen for any plan
 - Links on the Portal Users box: 'Bring Forward Portal Users' and 'All Plans'
 - Bring Forward Portal Users will pull in PUs from prior year for the compliance module only
 - PU permissions also will be brought forward
 - Click the 'Manage User' link to change permissions

Wrap-up

- Next User Group meeting - Tuesday, December 4, 2018
- Let us know if there are topics you'd like to cover, & your ideas for future agenda items, via chat now, or at support@ftwilliam.com
- Happy Turkey Day and thank you for attending!

