ftwilliam.com Compliance User Group Meeting

Thursday
November 8, 2018

Agenda

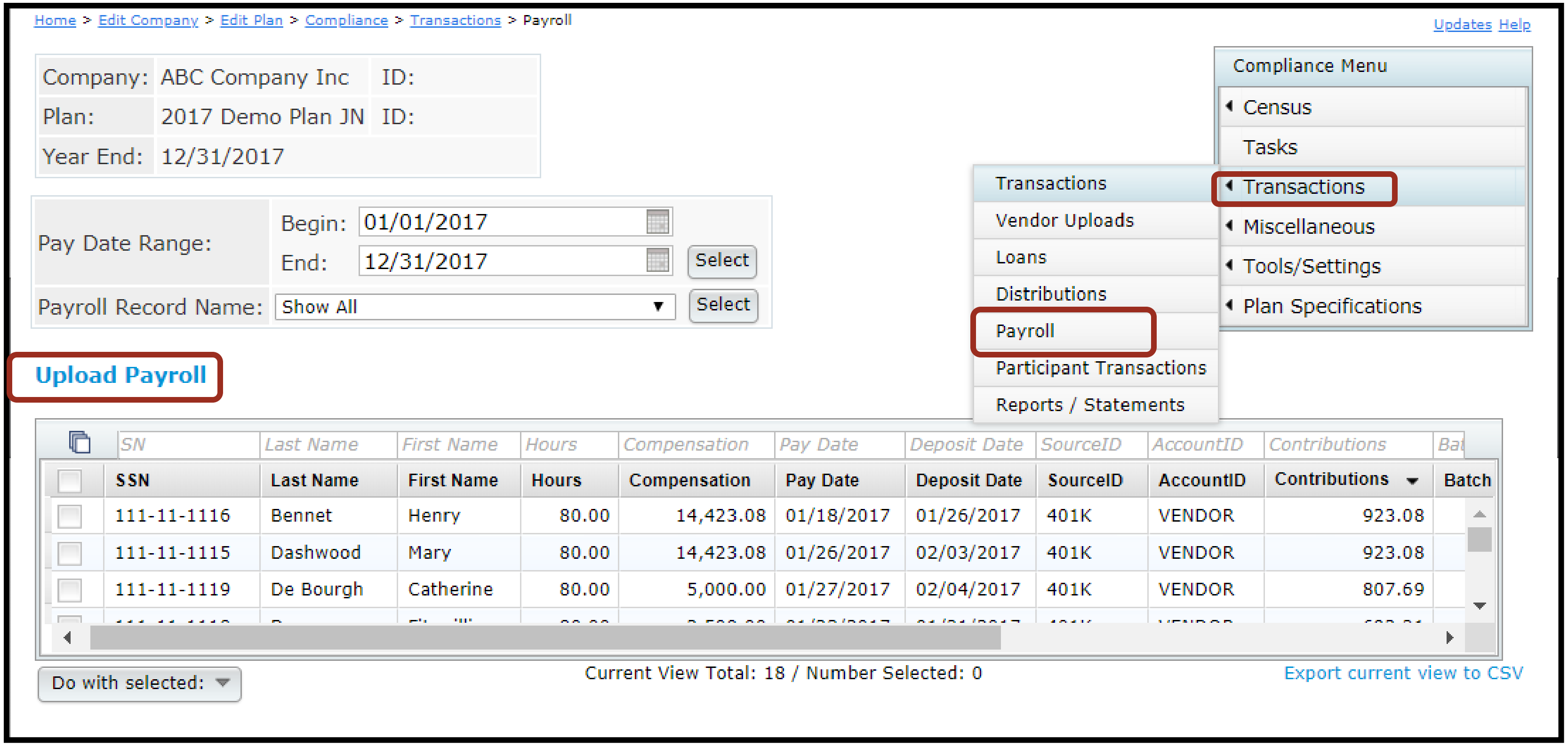
- The ftw Payroll module
- Reminders for year-end
- Portal options
- Wrap-up

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

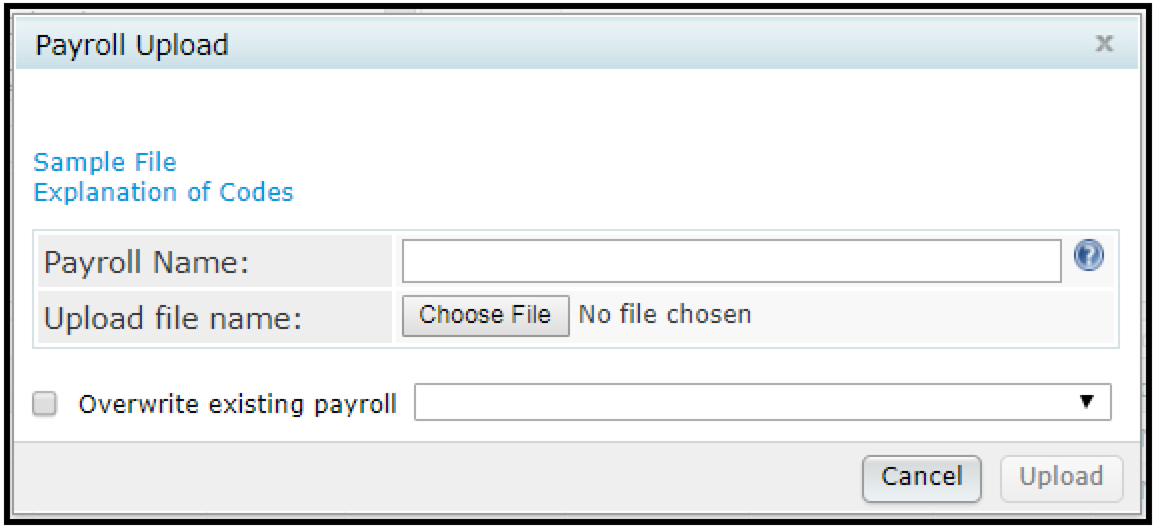
Payroll Module Capability



- Advanced filtering available

Payroll Module Capability

- To add a new payroll click the Upload Payroll link



- Sample file below

SSN	Last Name	First Name	Hours	Compensa	Pay Date	Deposit Dat	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

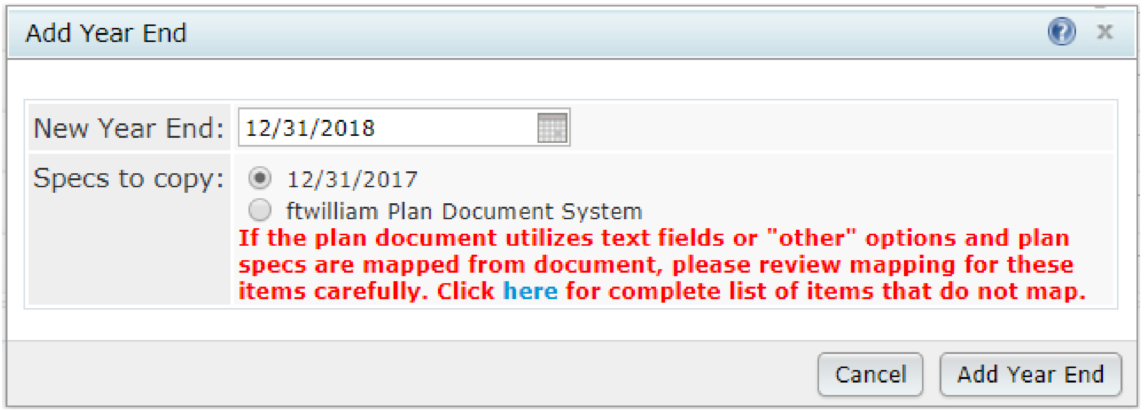
Reminders for Year End

- 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



- 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

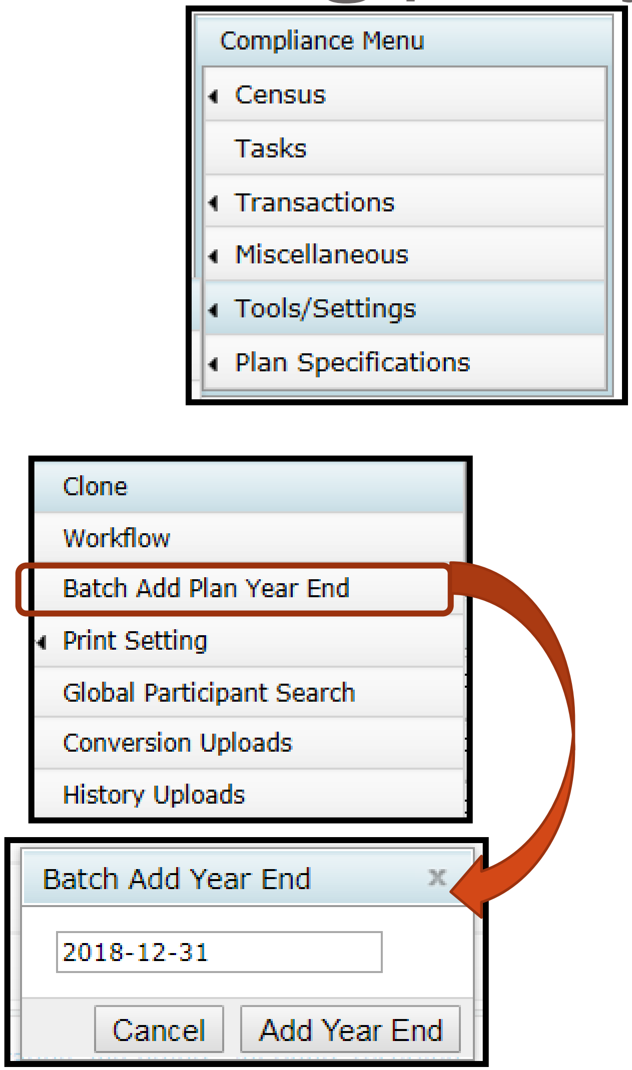
Reminders for Year End

- 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

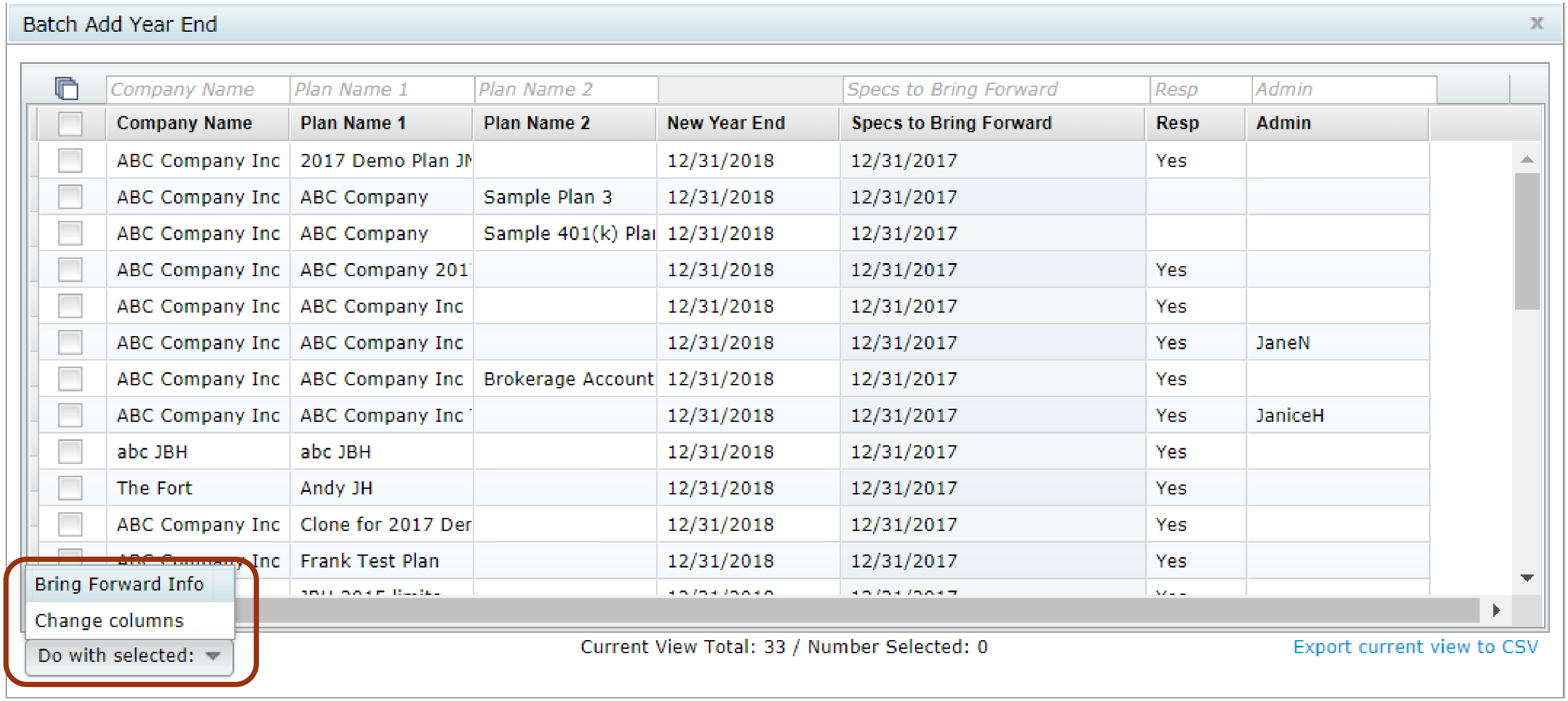
- Feature is available to all users – you don't need to use the ftwilliam.com portal
- From the compliance module in any plan, go to Tools/Settings and select 'Batch Add Plan Year End'
- Brings up a dialogue box to select the year end to add – defaults to the current calendar year

Adding plan year ends in batch



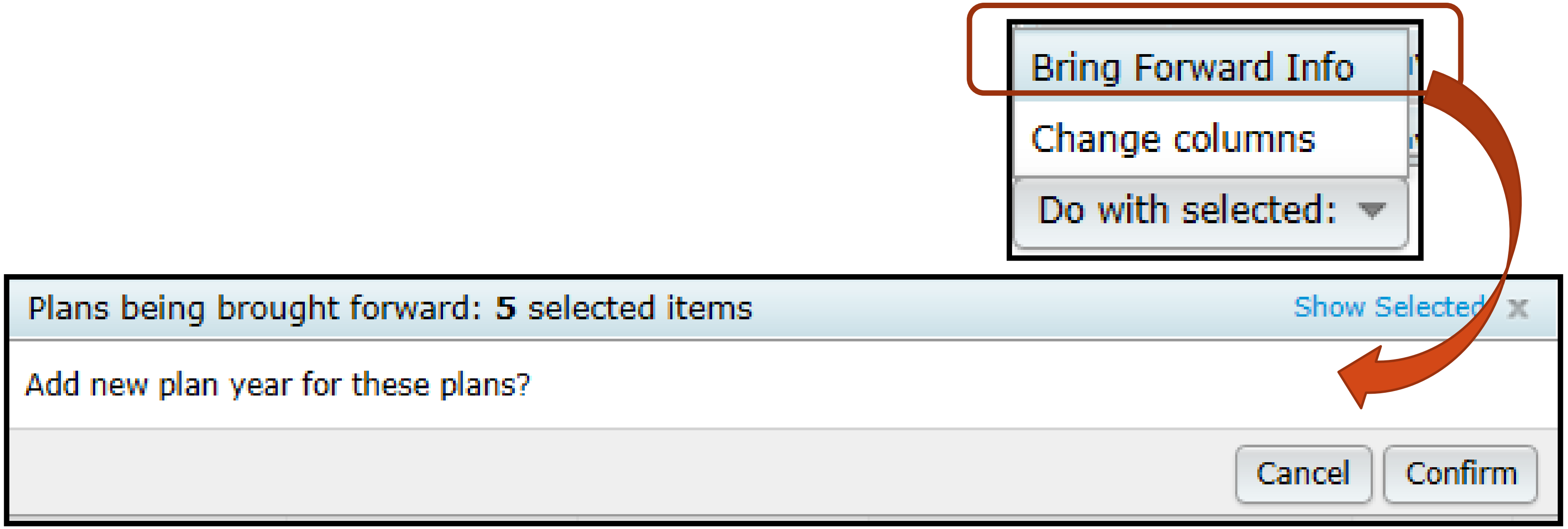
- Choose or enter the year end, you'll see a list of plans to select to the new year end to
- The list will include all plans whose last year end is the year before the one entered
  - E.g. if you use 12/31/2018 you'll get a list of all calendar year plans that have a 12/31/2017 year end but not a 12/31/2018

Adding plan year ends in batch



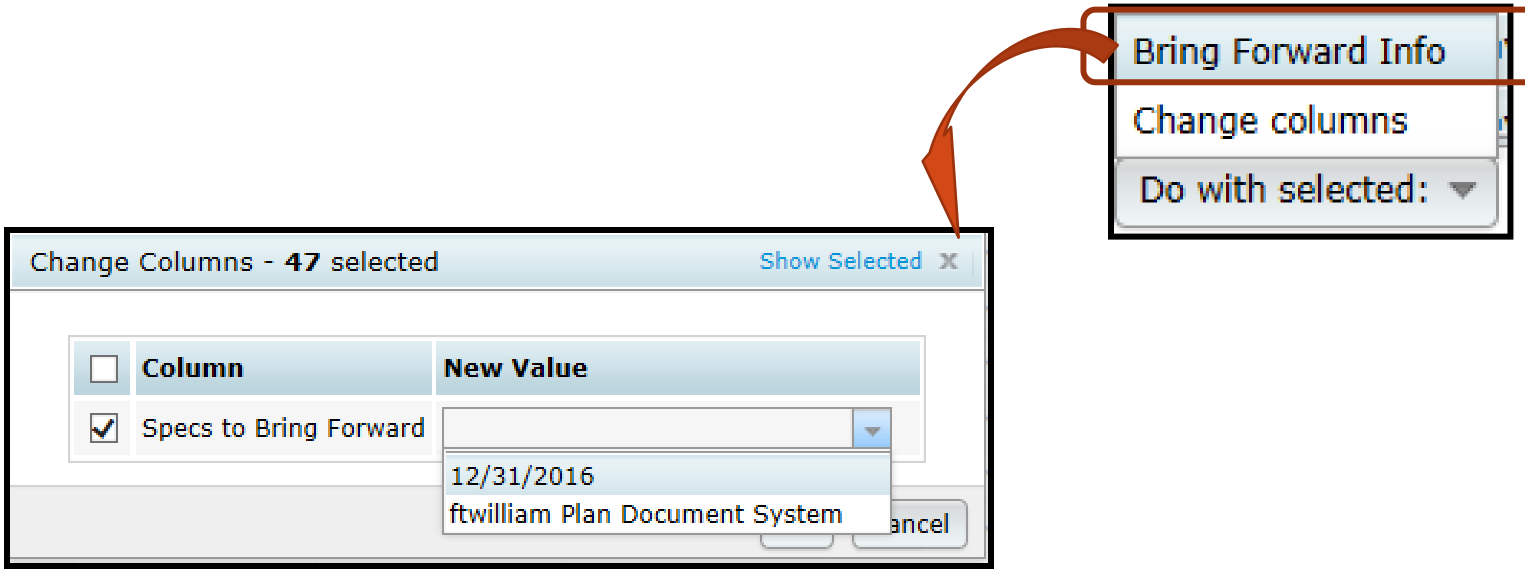
- Select some or all plans and use ‘Do with selected’ drop-down

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

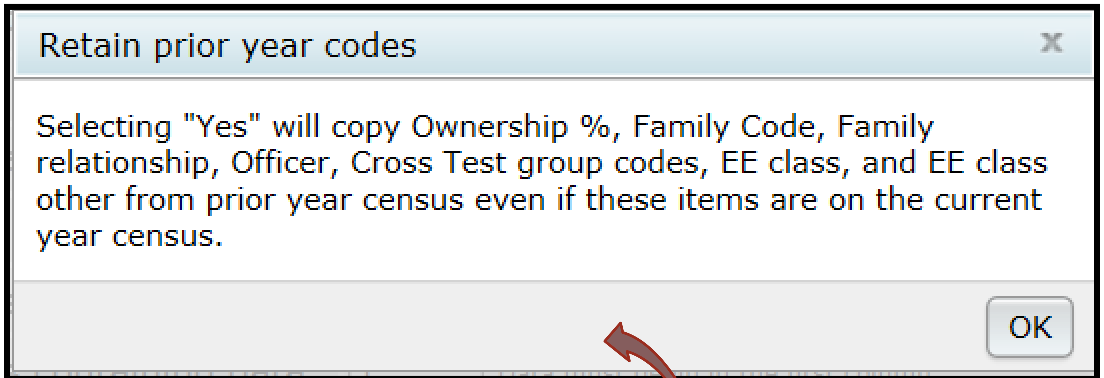
Reminders for Year End

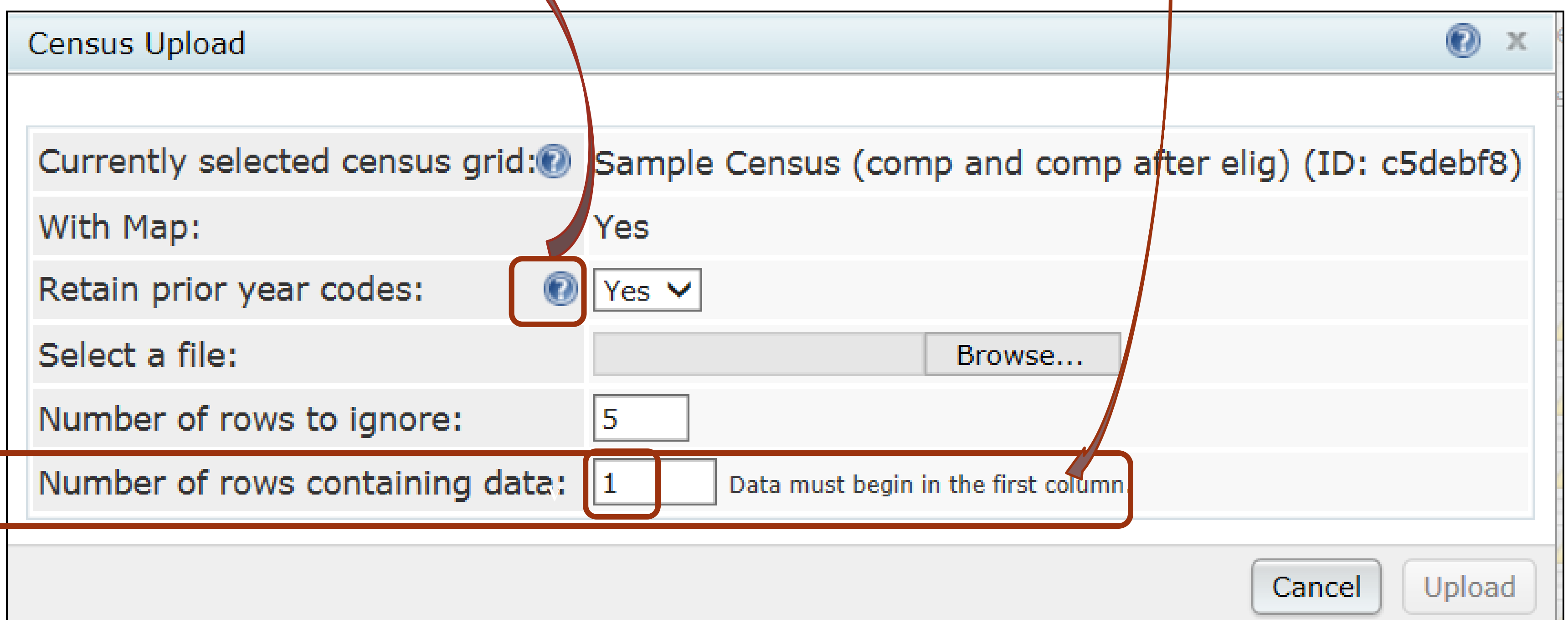
Ownership %
Family Group
Family Group Relationship
Officer status
New Comparability Group
Employee Class
Employee Class Other

- 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

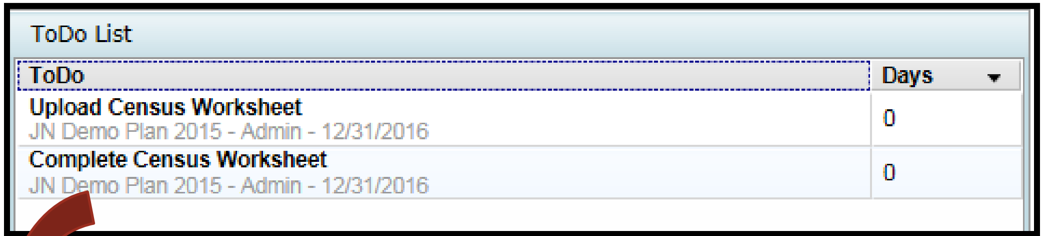
Census Worksheet Options

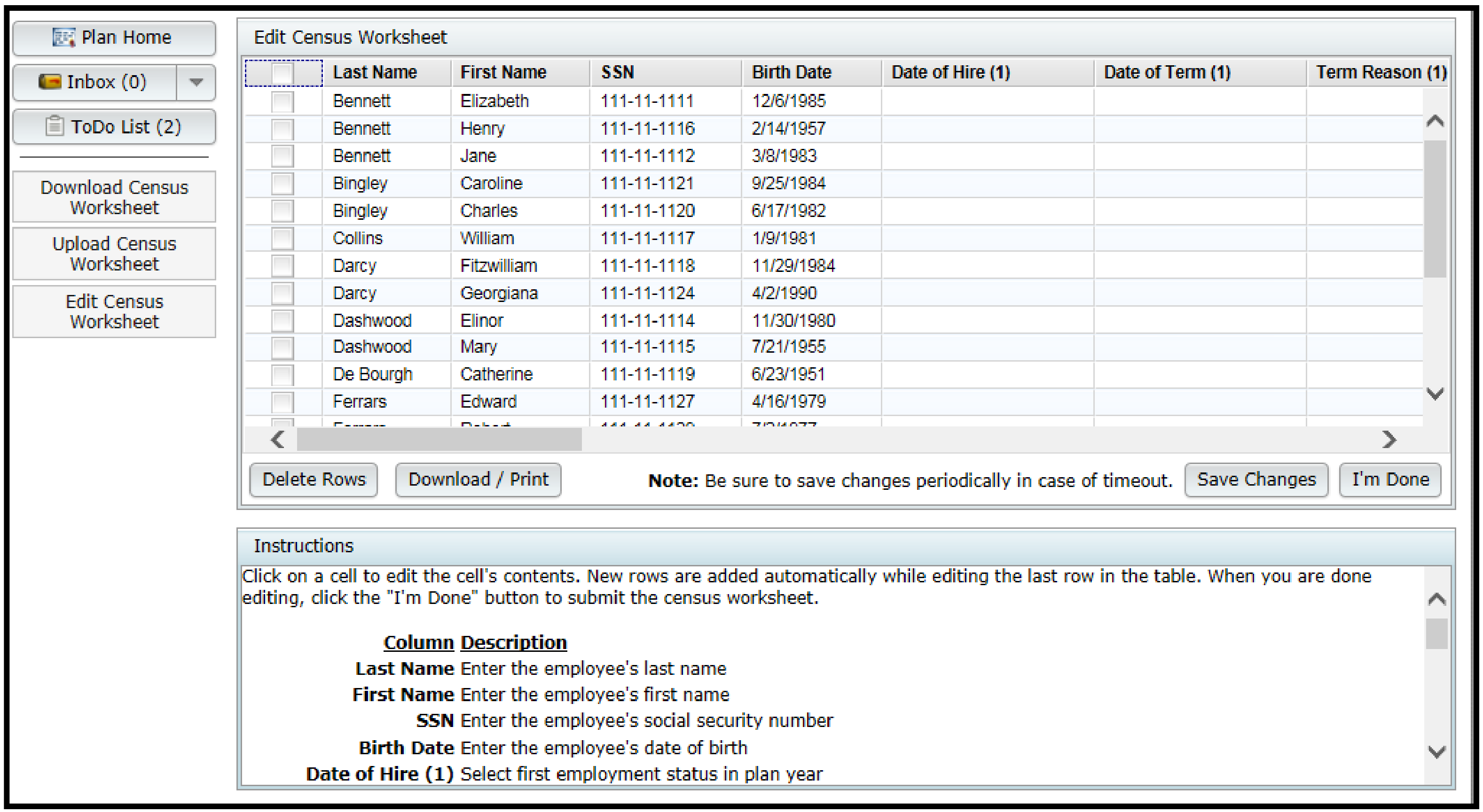
- To Portal User – TPA can post census worksheet for client to access – 'Approve' before the client sees it
- Load Prior option adds last year's census file without hours, comp etc.
  - Load Current typically adds blank spreadsheet unless census data has been added
  - Manual option allows TPA to upload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

Portal user view of the editing census on the portal

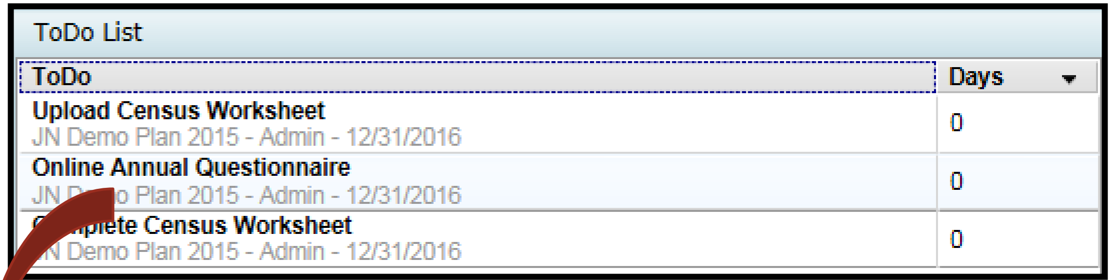


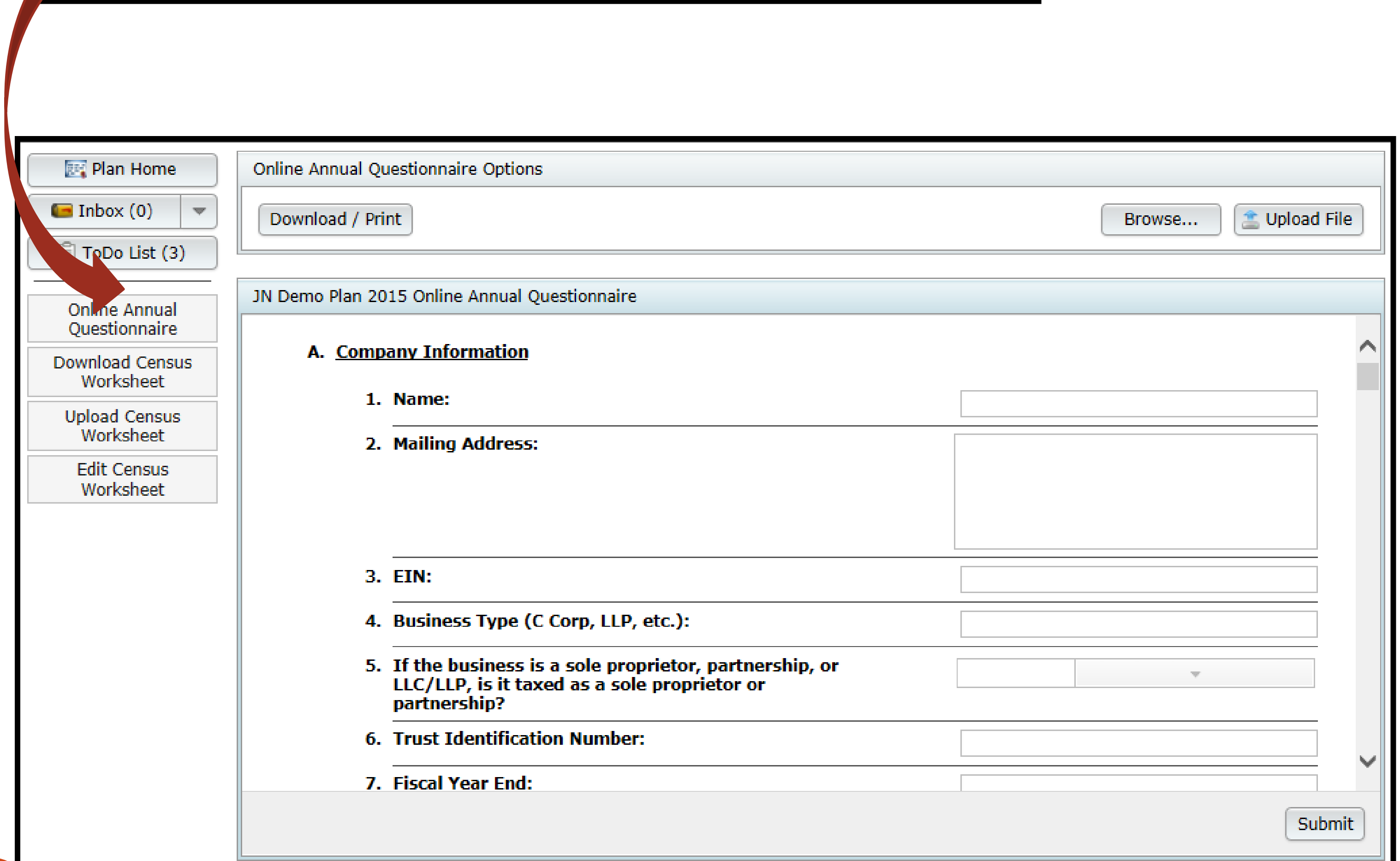


Questionnaire Options

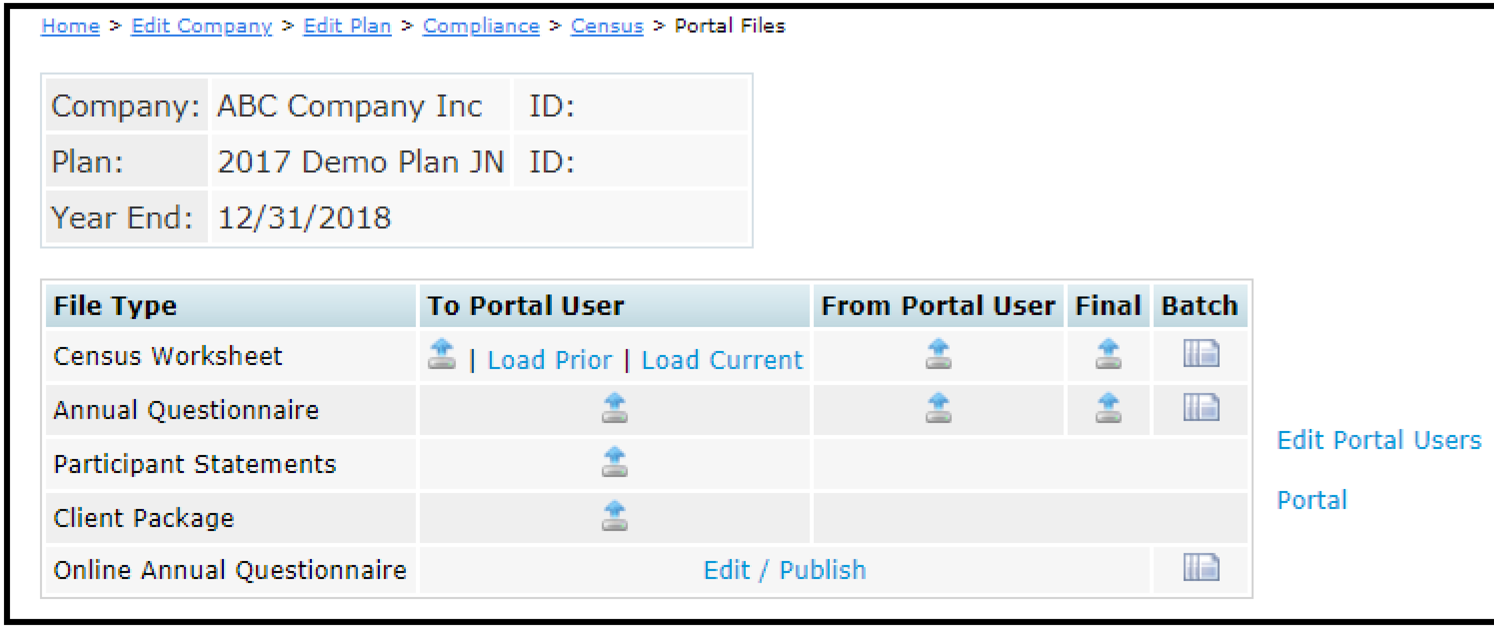
- Manually upload your own questionnaire to portal
- Use Online Annual Questionnaire (OAQ)
  - Edit plan by plan or customize a default questionnaire
  - Re-order questions, import new questions, determine range of answers
  - Add ‘Plan questions’ – populate from checklist
  - Publish to portal for client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

Portal user view of the OAQ





Other Options on Portal Files Screen



- 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!