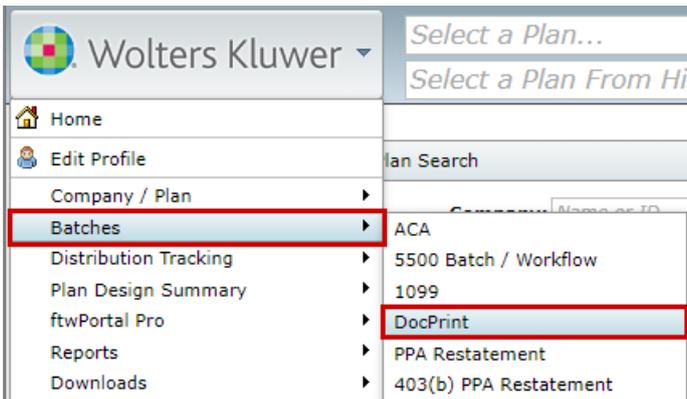


How to Post a Required Amendment via Batch

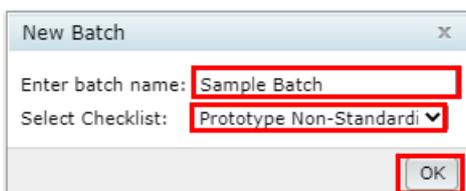
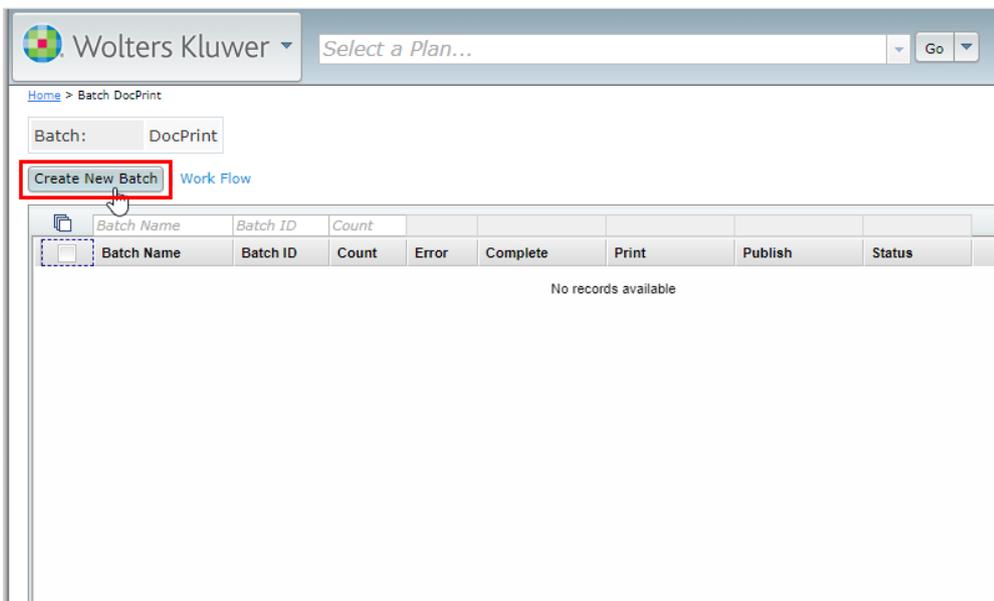
07/29/2024 4:02 pm CDT

Note: You must subscribe to the Documents Module and 'ftwPortal Pro' to post required amendment batches.

To batch generate amendments select the Wolters Kluwer logo > Batches > DocPrint :

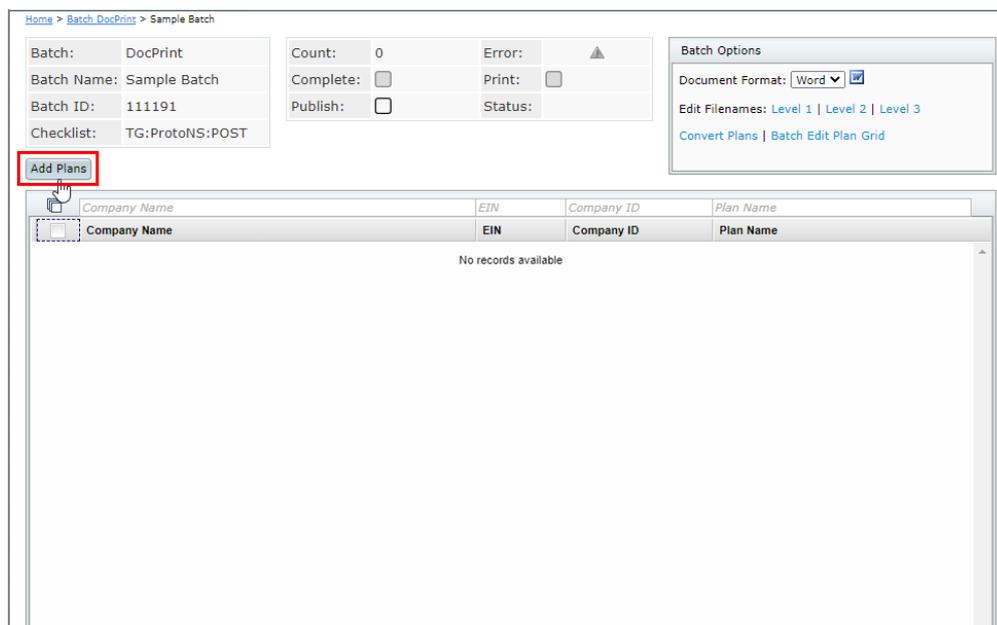


In the DocPrint menu you will first need to create a batch file. Click the "Create New Batch" button and give your batch file a name. You will also need to select the checklist type you will be generating the amendment for via the drop-down menu. Once you have made your selection, click "OK".



Next, you will need to add plans to your batch file. Click the "Add Plans" button to get a list of plans in your account

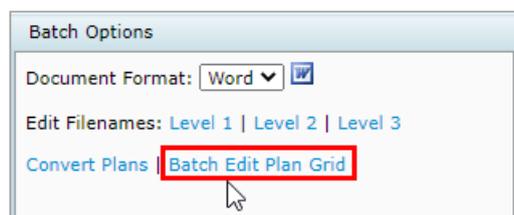
with the checklist type you selected.



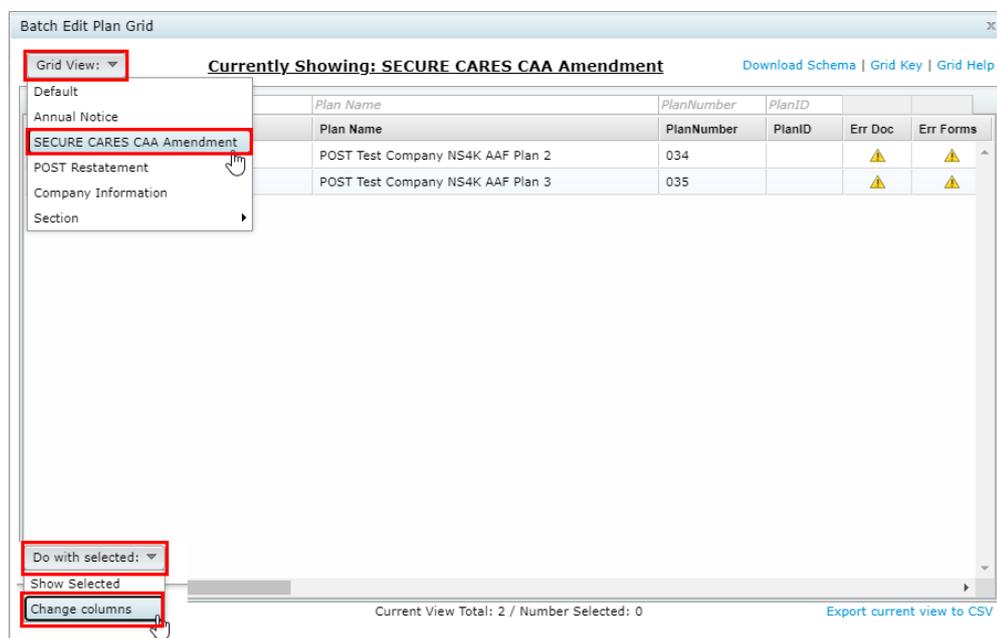
Once your plan list appears, you can utilize the filters at the top of the box to search for specific plans and narrow down your search results. When finished, use the checkboxes to the left of the menu to select the plans you want to add to your batch file. You can use the top checkbox to select all the plans in the menu. Once you have made your selection, click on the “Add” button.



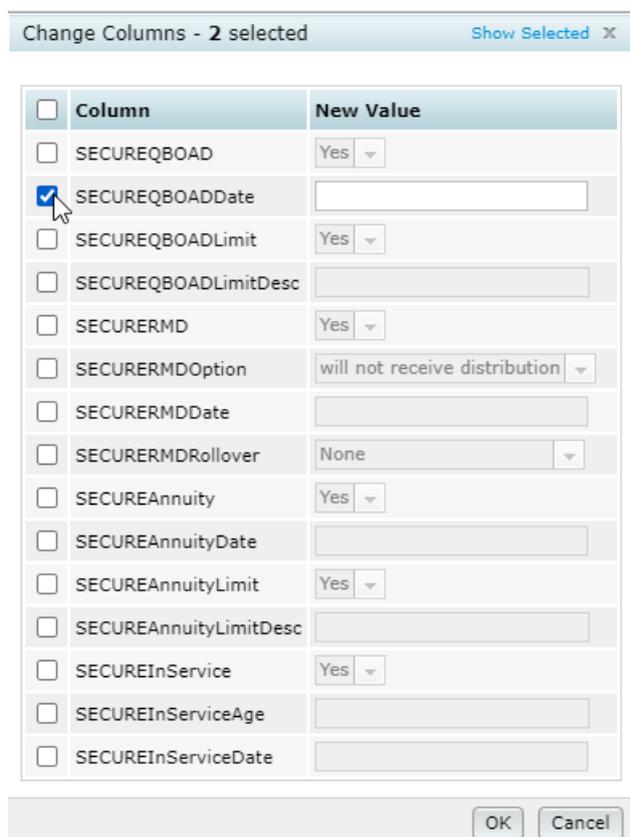
Now that you have added your plans you can proceed with any necessary parameter updates before creating your amendments. Click the “Batch Edit Plan Grid” link in the “Batch Options” box.



Next, use the “Grid View” drop-down menu to view the parameters for a specific section in the checklist. To make changes in bulk, select the plans you want to update by using the checkboxes to the left of the plan name in the grid and then click the “Do with Selected” drop-down menu. By choosing “Change Columns” a new menu will appear listing all the parameters for that grid view or checklist section.



To make changes, first select the checkbox next to the parameter you wish to update. Next, select the new value for that question and then click “OK” at the bottom of the menu. By doing this, any plans you selected will be automatically updated in batch. You will not need to go into each plan individually to make those changes.

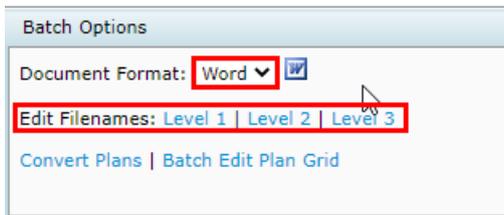


Now that your plans have been updated (if needed), you can proceed with delivery. Before printing, you will have the option to customize the file naming convention. In the “Batch Options” menu, you will see Level 1, Level 2, and Level 3 options.

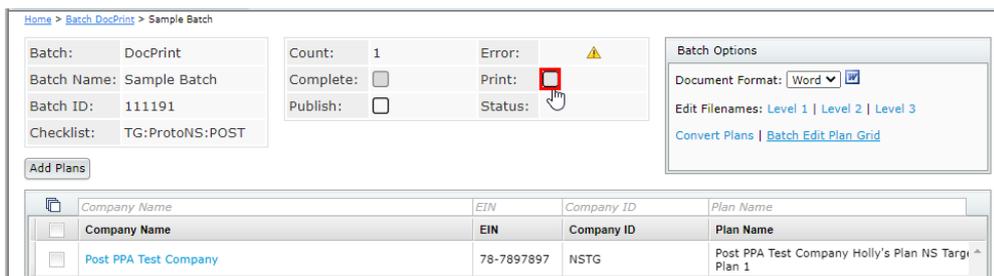
Level 1 is the naming convention for the folder that is downloaded from DocPrint. This will contain plan folders and files for all the plans in your batch.

Level 2 is the naming convention for the file or folder within the zip folder in Level 1.

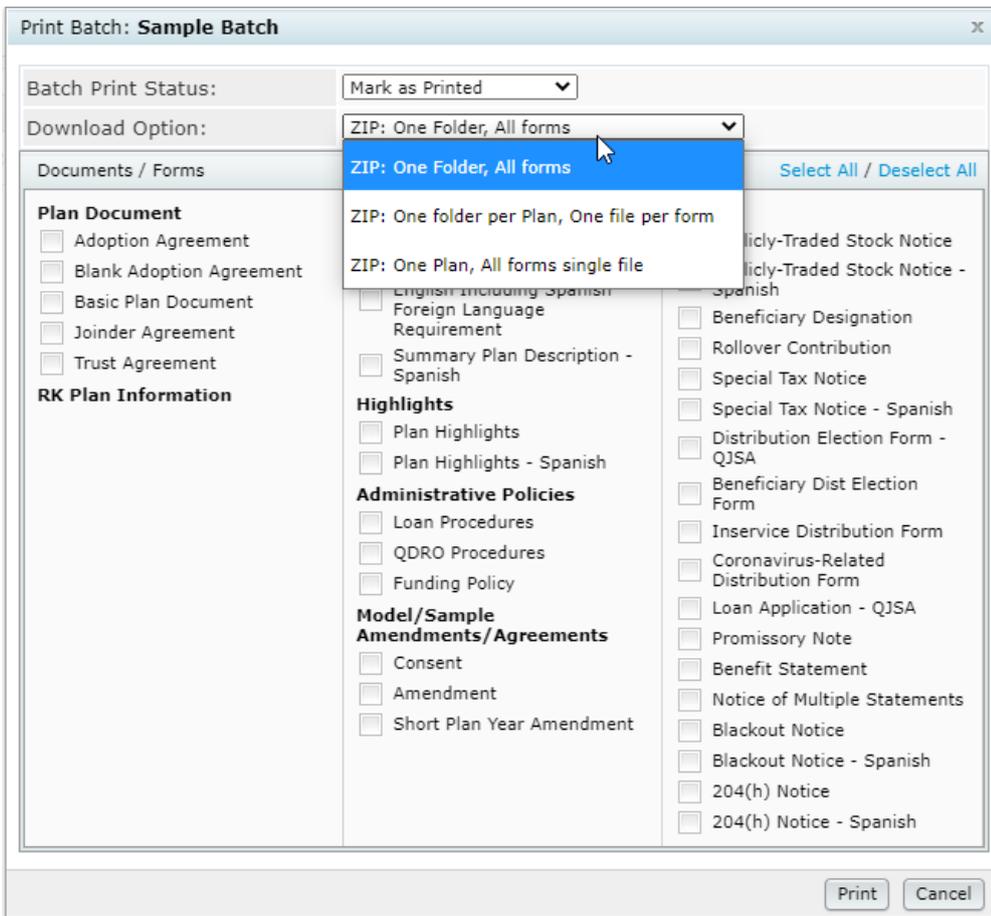
Level 3 is the naming convention for all the files inside of the folders in Level 2.



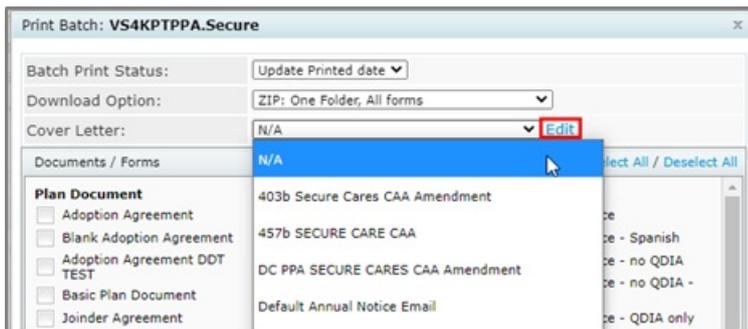
Now that you’ve set-up your filenames, click the “Print” checkbox at the top of the menu to select the files you wish to print for the plans inside of your batch file.



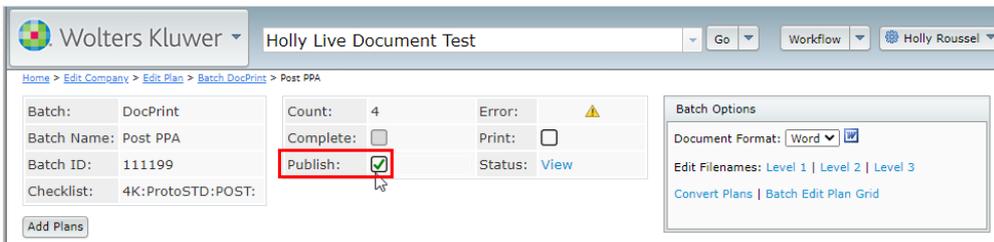
You will find a list of all the documents and supporting materials that can be printed with your amendments. Make sure to indicate the “Download” option you want before clicking the “Print” button.



You may also choose to include a cover letter with your amendment. Click the drop-down menu next to Cover Letter to locate the list of templates available. You may use the templates provided or use the “Edit” button to the right of the drop-down menu and customize your own cover letter. Please note that if you use ftwPortal Pro, the cover letter can be used as the email template when you invite your clients to the portal.



If you subscribe to ftwPortal Pro and you would like to batch deliver files to the portal, click the “Publish” checkbox to open the publishing menu.

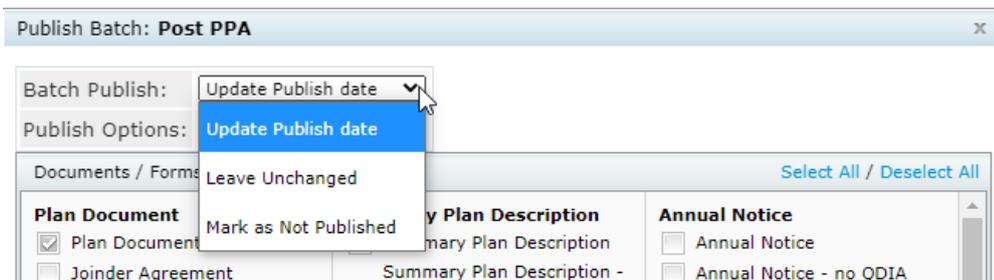


Once the “Publish Batch” modal is open you can choose to update the status of your batch after publishing files with the date the files were pushed to the portal.

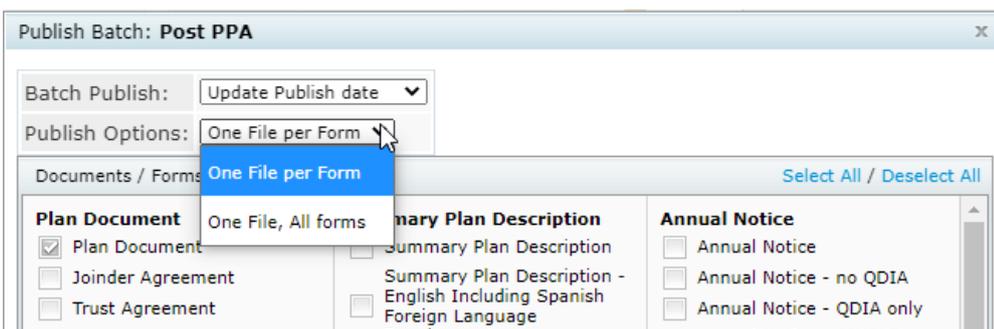
If you choose “Update Publish date”, the date you delivered files to the portal will appear next to the “Publish” checkbox in the batch menu.

If “Leave Unchanged” is chosen, the software will leave the previous publish date or no publish date if the files were not pushed to the portal previously.

If you choose “Mark as Not Published” the checkbox will be left unchecked.



For publishing options, you can choose to send all of your selected documents and forms in individual files by choosing “One File per Form” – this is recommended for E-Signing. If you prefer all documents and forms be contained in one big file, choose “One File, All forms”.



The last step is to select the checkbox next to the amendment, documents and forms you want to deliver to the portal. When finished, clicked on the “Next” button to be redirected to the portal menu.

Publish Batch: Post PPA

Batch Publish: Update Publish date

Publish Options: One File per Form

Cover Letter: Default PPA Restatement Email [Edit](#)

Documents / Forms Select All / Deselect All

<p>Plan Document</p> <p><input checked="" type="checkbox"/> Adoption Agreement</p> <p><input type="checkbox"/> Blank Adoption Agreement</p> <p><input type="checkbox"/> Basic Plan Document</p> <p><input type="checkbox"/> Joinder Agreement</p> <p><input type="checkbox"/> Trust Agreement</p> <p>RK Plan Information</p>	<p>Summary Plan Description</p> <p><input checked="" type="checkbox"/> Summary Plan Description</p> <p><input type="checkbox"/> Summary Plan Description - English Including Spanish Foreign Language Requirement</p> <p><input type="checkbox"/> Summary Plan Description - Spanish</p> <p>Highlights</p> <p><input checked="" type="checkbox"/> Plan Highlights</p> <p>Administrative Policies</p> <p><input type="checkbox"/> Loan Procedures</p> <p><input type="checkbox"/> QDRO Procedures</p> <p><input type="checkbox"/> Funding Policy</p> <p>Model/Sample Amendments/Agreements</p> <p><input type="checkbox"/> Consent</p> <p><input type="checkbox"/> Amendment</p> <p><input type="checkbox"/> Short Plan Year Amendment</p> <p><input type="checkbox"/> Termination Kit non MP</p>	<p>Annual Notice</p> <p><input type="checkbox"/> Annual Notice</p> <p><input type="checkbox"/> Annual Notice - no QDIA</p> <p><input type="checkbox"/> Annual Notice - QDIA only</p> <p><input type="checkbox"/> Annual Notice - SIMPLE 401(k)</p> <p>Forms</p> <p><input type="checkbox"/> Follow-up Notice</p> <p><input checked="" type="checkbox"/> Deferral Election Form</p> <p><input type="checkbox"/> Bonus Deferral Election Form</p> <p><input type="checkbox"/> Self Employed Deferral Election Form</p> <p><input type="checkbox"/> Publicly-Traded Stock Notice</p> <p><input type="checkbox"/> Beneficiary Designation</p> <p><input type="checkbox"/> Rollover Contribution</p> <p><input type="checkbox"/> Special Tax Notice</p> <p><input type="checkbox"/> Special Tax Notice In-Plan Roth Rollover Only</p> <p><input type="checkbox"/> Distribution Election Form - QJSA</p> <p><input type="checkbox"/> Distribution Election Form - non-QJSA</p> <p><input type="checkbox"/> Roth Certification</p> <p><input type="checkbox"/> Beneficiary Dist Election Form</p> <p><input type="checkbox"/> Inservice Distribution Form</p> <p><input type="checkbox"/> In-Plan Roth Rollover Form</p> <p><input type="checkbox"/> EACA Refund Request</p> <p><input type="checkbox"/> Coronavirus-Related Distribution Form</p> <p><input type="checkbox"/> Loan Application - QJSA</p> <p><input type="checkbox"/> Loan Application - non-QJSA</p> <p><input type="checkbox"/> Promissory Note</p> <p><input type="checkbox"/> Benefit Statement</p>
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Cancel Next

Once the publishing menu appears, you will have several options to choose from.

In the drop-down menu on the top left, you can choose a classification for the files being delivered to the portal.

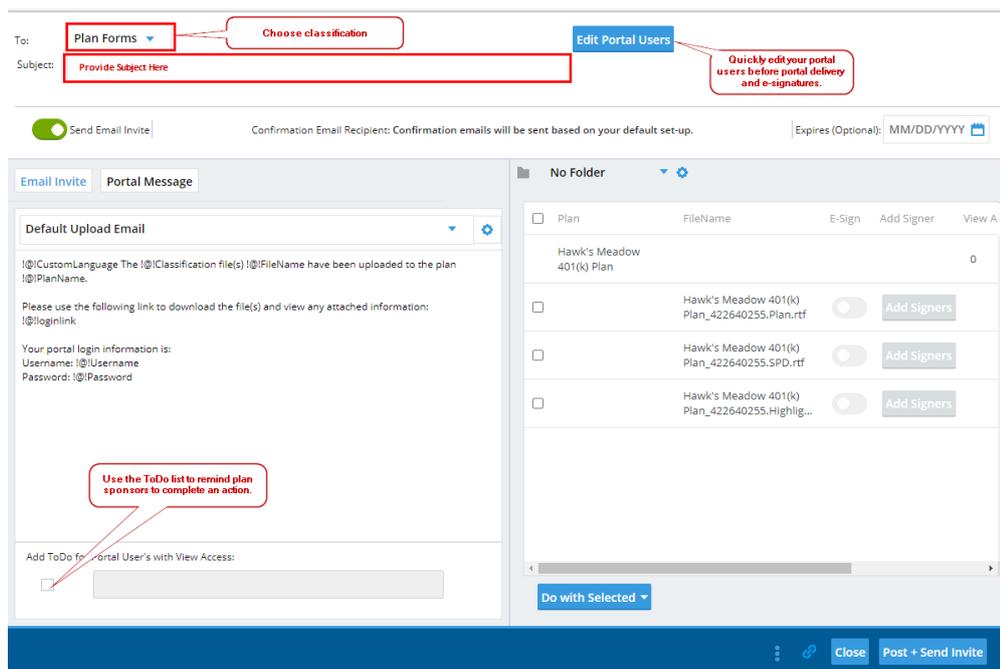
You can provide a "Subject" for the email communication your portal user will receive inviting them to the portal to download or electronically sign their files.

Use the green toggle to turn the email invitation on or off. If you prefer not to send an email invitation, make sure the toggle is gray (off mode).

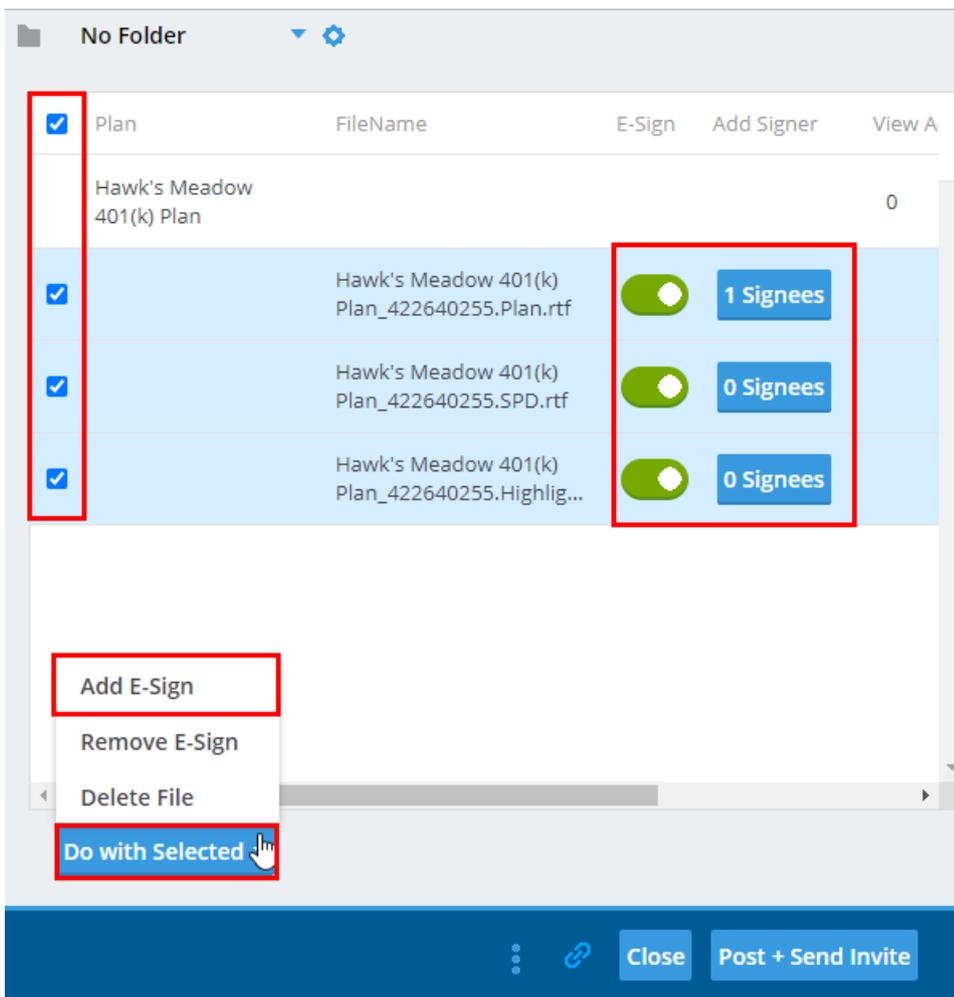
The email provided is the default for the system. You can select a different email template from the drop-down list that will be delivered to your portal users. Use the blue gear icon to modify or create new email templates.

You can set-up a Portal Message that your portal users will see when they log into the portal or check the box to have the email template appear as the Portal Message.

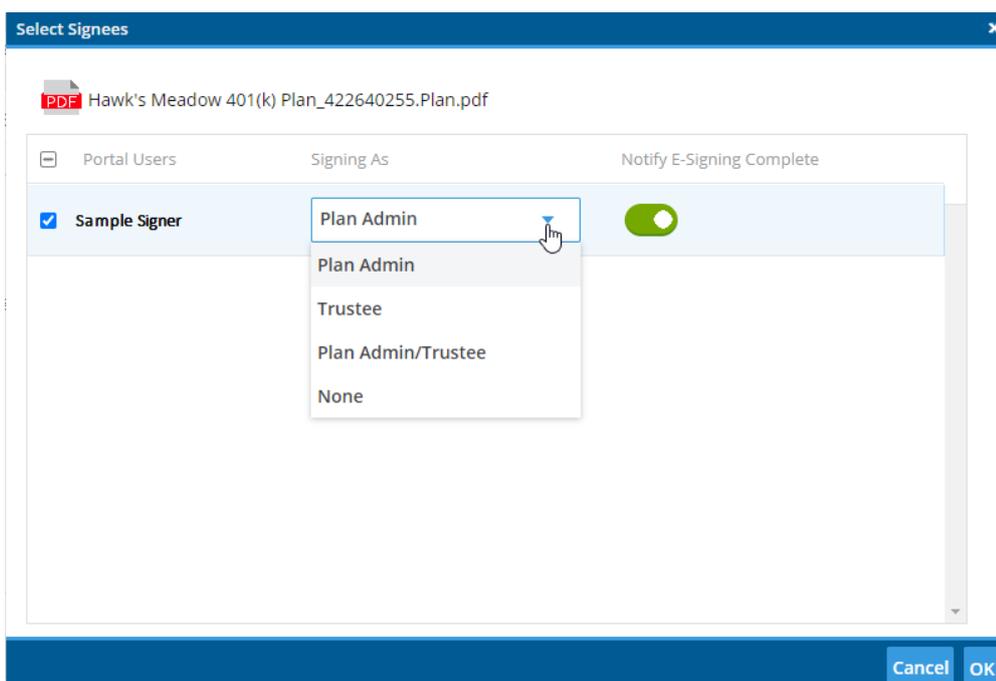
If you still need to set-up portal users, you can access that menu by clicking on the “Edit Portal Users” button.



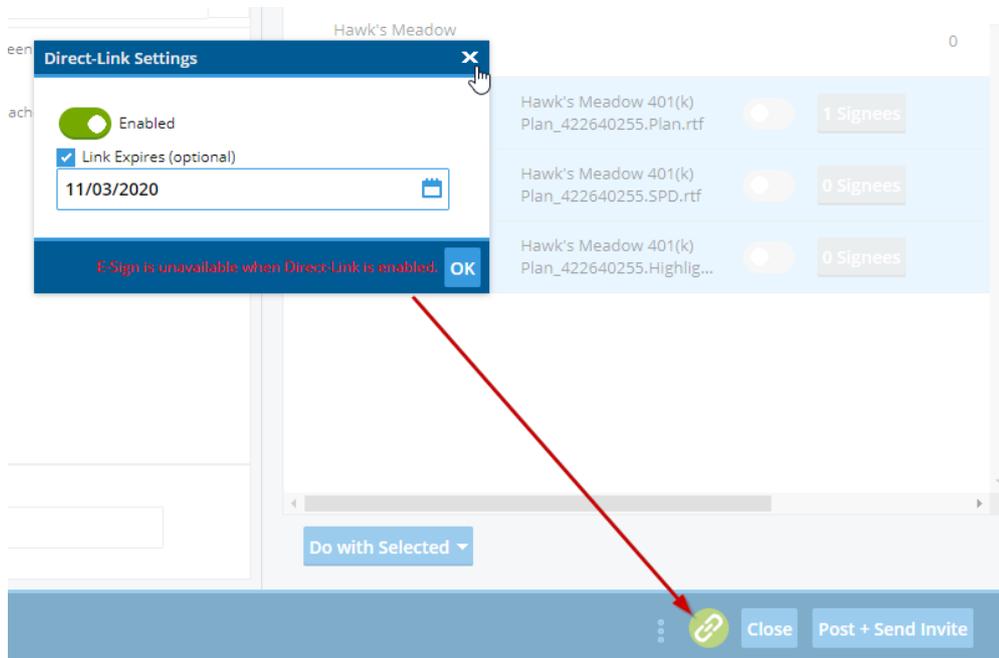
To the right of the menu, you will find a list of files that you selected to send to the portal. If you are inviting your plan sponsors to sign a file, select the checkbox next to the file name or batch select multiple files by using the checkboxes to the left of the file name and then use the “Do with Selected” button to select “Add E-Sign”. Either method will turn the toggle(s) green.



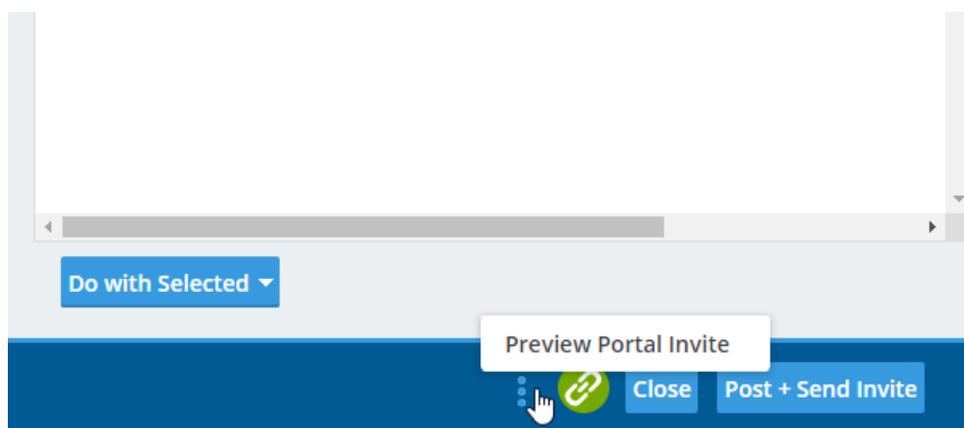
The number of signers set-up in the plan will appear in the blue box to the right of the green toggle. If you want to review your signers or make changes, click the blue button and a new menu will appear. You can remove signers, turn on the e-signature completion email or change who the user is signing as. Click "OK" when finished.



If you are not inviting a portal user to sign, you have the option to use “Direct-Link Delivery” by clicking on the link icon on the bottom right. By clicking on the icon, a new menu will appear where you can turn the option on or off and provide an expiration date for the files delivered to the portal.



If you would like to preview the email that will be delivered to your plan sponsors, click the tri-colon icon at the bottom right of the menu.



Once you click the “Post + Invite” button, you will be able to check on the status of your file delivery in the Portal Communication Manager.

The red flag on your dashboard indicates there are unread messages for that portal user. The paper icon next to the flag indicates this portal user was sent files from a batch.

Hawk's Meadow 401(k) Plan

Company ID: | Plan ID: | PYE: | EIN: | Plan Number:

PORTAL COMPLIANCE DISTRIBUTIONS

Portal Users

Communications

All

The screenshot shows a table with columns: To / From, Status, and Folder. A search filter is applied to the 'To / From' column. A row for 'Sample Signer' is highlighted in blue. A red flag icon is visible next to the user name, and a document icon is next to it. Two callout boxes are present: one pointing to the red flag with the text 'Red flag indicates there is an unread message for the portal users.' and another pointing to the document icon with the text 'This icon indicates files for this user in a batch.'

On the right side of the dashboard you can view your e-signers by clicking on the e-signature icon. If you would like to send a new communication, click on the “New” button.

The screenshot shows a table with columns: Description, Po, Documents, and an e-signature icon. A 'Portal Doc Admin' dropdown menu is set to 'Update' with an 'Update' button. A 'New' button is visible. A callout box points to the 'New' button with the text 'Initiate a new communication.' Another callout box points to the e-signature icon in the table with the text 'This icon will display e-signature details.'