Sending Documents Through the Portal

09/16/2024 1:21 pm CDT

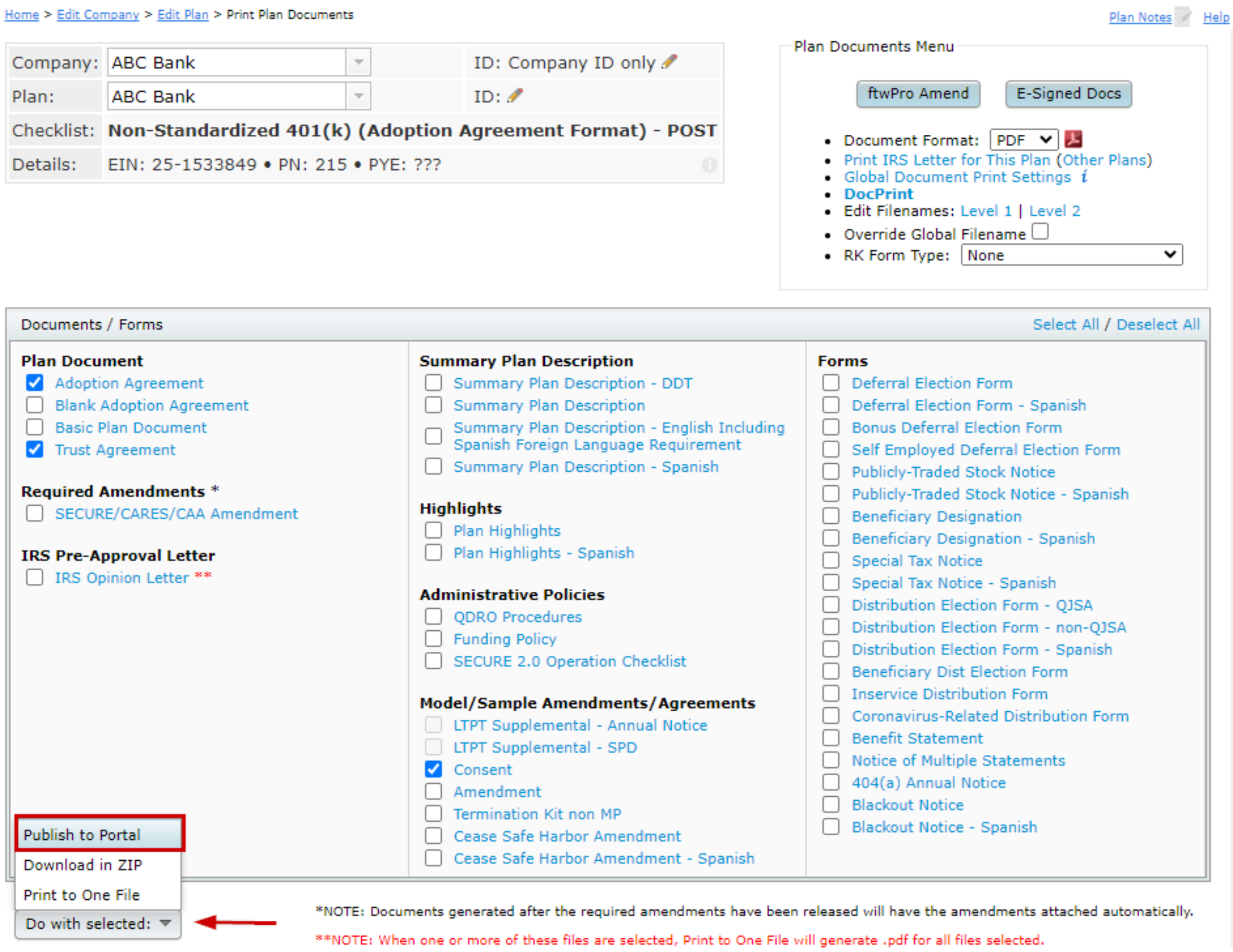
This section of the Help Guide walks through the various ways to send documents and messages through the Portal Module.

How to Send Documents to the Portal That Were Prepared in ftwilliam.com

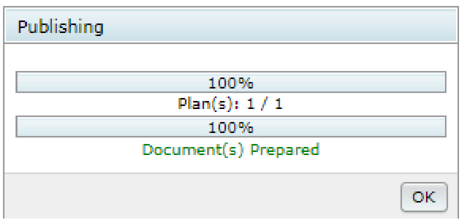
If you subscribe to both the Documents and Portal modules you may use the "Publish to Portal" option found on the "Print Plan Documents " screen to post files to the Portal.

To begin, select the Plan Documents module and indicate the items you wish to publish to the Portal, by putting a checkmark next to the intended document. **Note:** *You can select the document format: PDF or Word. The Plan Document, and any items marked for signature will always publish in PDF format.*

Once the documents to publish have been indicated, select the the “Publish to Portal” option within the “Do with Selected” button on the bottom left:



A new window will populate showing the documents have been prepared to send. **Note**: This step does not actually publish documents or send anything any notifications to Portal Users.

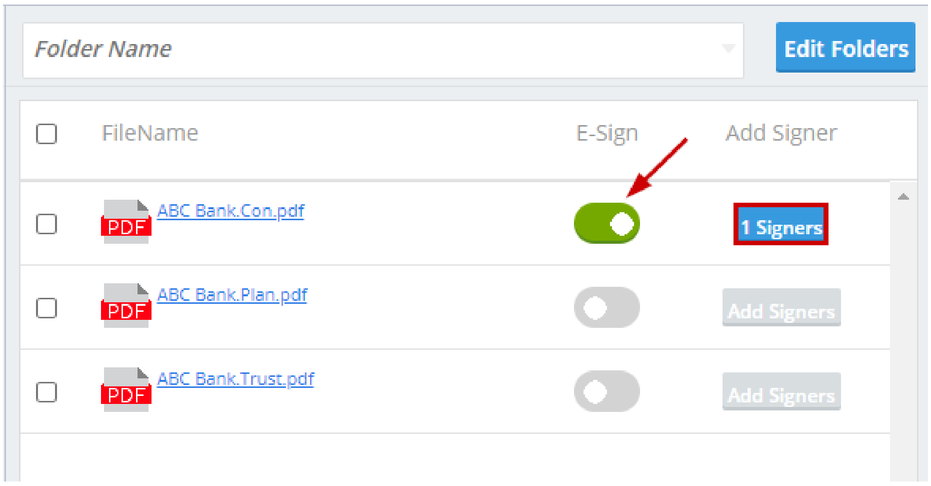


After selecting 'Ok', the Communications Manager screen will populate. Aside from first marking items for e-signature we recommend reviewing this screen from top to bottom.

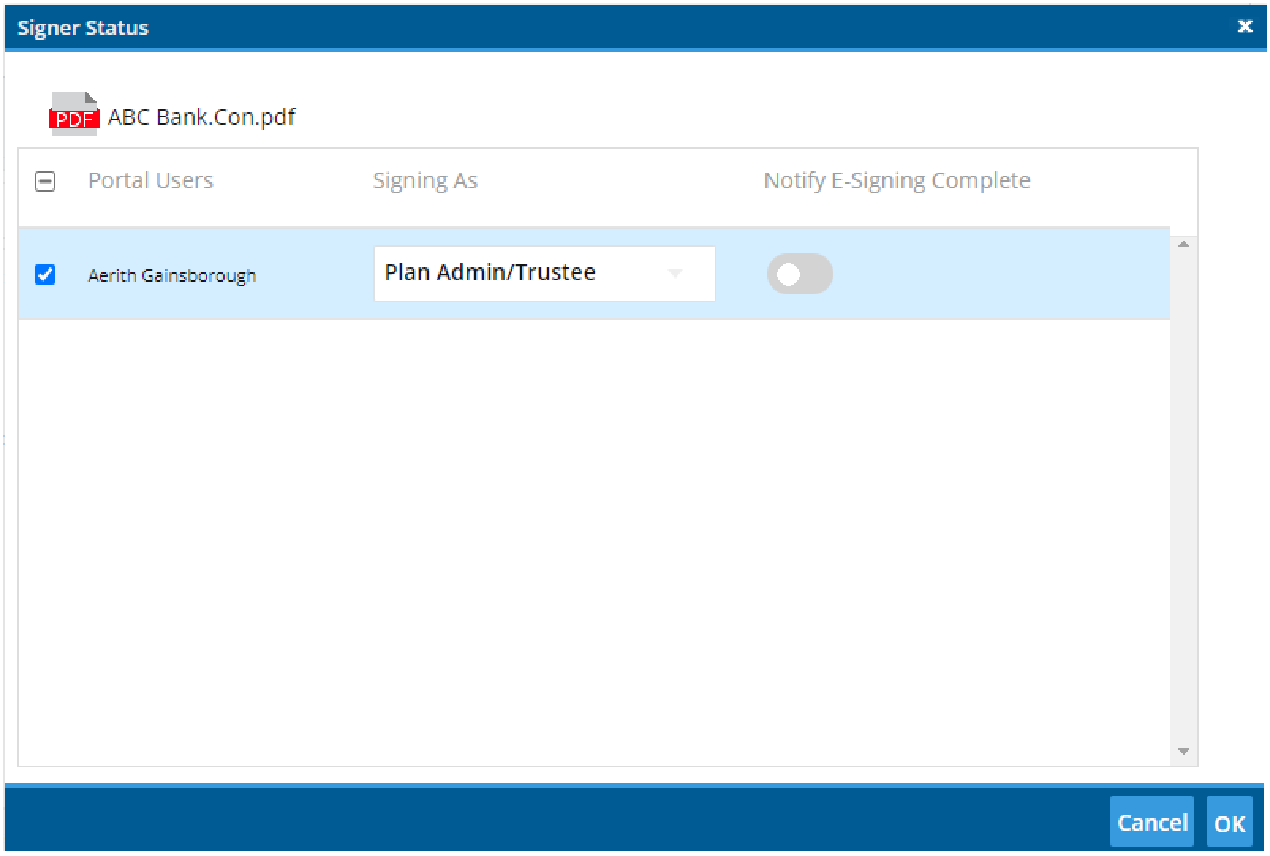
**** We recommend setting items for e-signature when applicable, prior to making other alterations as this will impact the available e-mail templates.**

A list of files that were selected in the Documents Module will appear to the right listed by the "File Name".

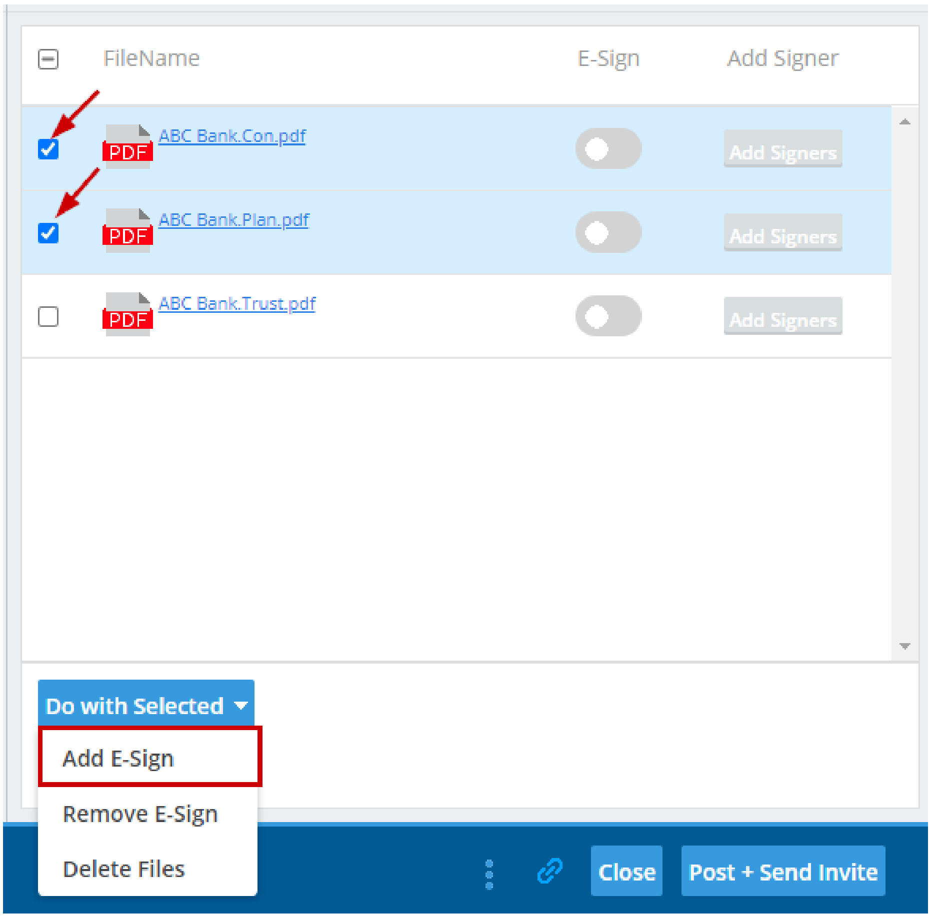
- **Setting Single Items for E-Signature:** If you wish to set e-signing per document, you may do so by selecting the e-sign toggle to the right of the document name. When this is selected the document will be converted to a .PDF, the toggle will turn green, and the number of available signers for the plan (those set with signing permissions) will populate to the right of the toggle:



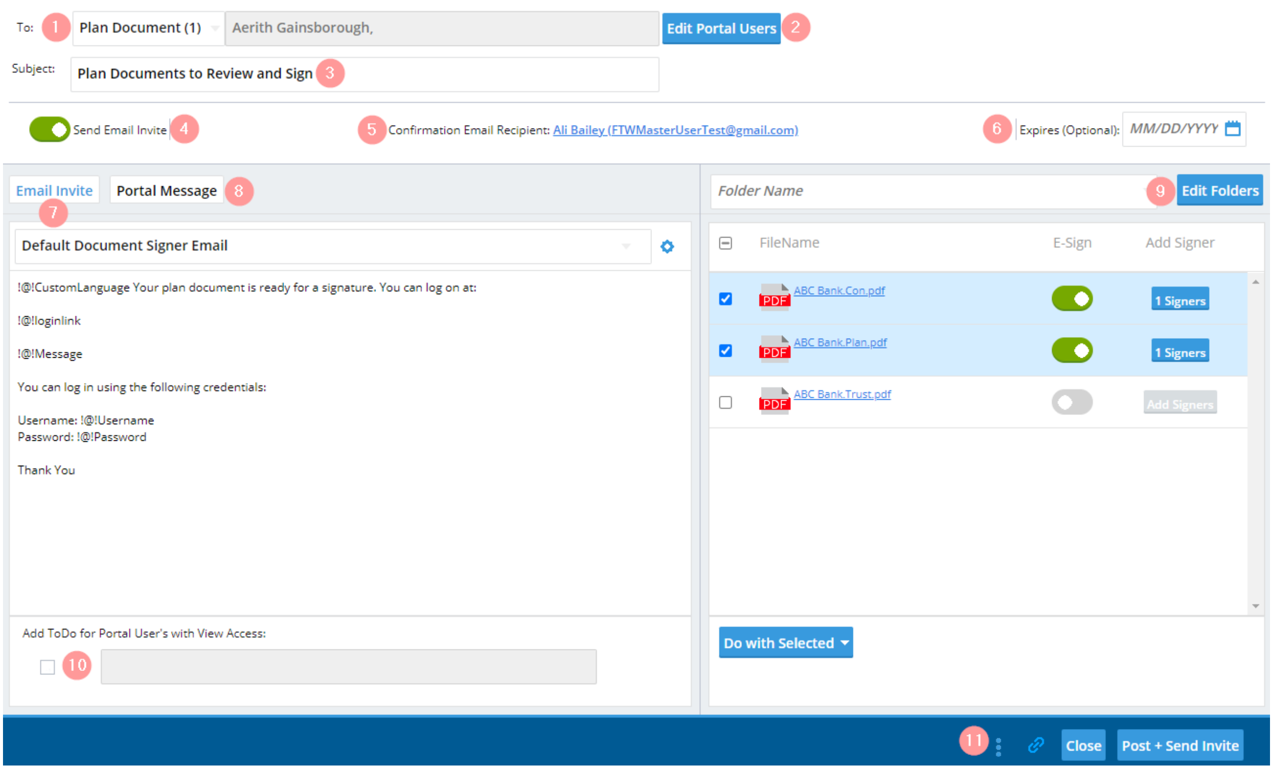
Selecting the “#Signers” button will open a window that allows users to see who is set for signing as well as their signing designations, other Portal Users may be added if needed, and set up additional confirmations (the confirmations are available if you do not have Global confirmations set for documents):



- **Setting Multiple Items for E-signature:** If you have multiple items you would like to mark for e-signature, you may select the check box next to the file name, then click on “Do with Selected”, and “Add E-Sign”. The Documents will then be converted to .PDF, the E-sign toggle will turn green, and you will see the number of available signers and their designations by selecting the “# Signers” button to the right as indicated in the above instructions for setting e-signature for individual documents.



If attachments are not marked for e-signature, or e-signature selections have already been made, we recommend reviewing the communication from top to bottom in the following order:



1. **Classifications:** If you are publishing more than one document with different types of "Classifications", the classification type of "Plan Forms" will be used. If you have just one type, for example, Amendments, the classification type of "Required Amendment" will be used.

2. **Edit Portal User:** The Users listed in the “To” field are those that have permissions to view the documents in the communication. You can add or remove user permissions by selecting the Edit Portal Users Link to the right of this field.

3. **Subject:** Each communication needs a subject for it to be sent.

4. **Send Email Invite**: This toggle option indicates whether a communication will be sent to the portal user that the items are available, or you can choose to simply publish the items to the portal without sending them an email invitation.

5. **Confirmation Email Recipient**: This field indicates who will receive a confirmation that the Portal User has downloaded or e-signed the documents in the communication (this will either be the Admin associated with the plan or the Master User on the account)

6. **Expiration Field**: this field allows you to set an expiration date. Once this date has passed these documents will no longer be on the Portal Users Portal. (this is an uncommon field, as most users would like their portal users to have access to these documents in an ongoing basis).

7. **Email Invite:** This is the field that indicates what template to use when sending the invitation to your portal user to inform them they have items to review or sign. You can select from system generated or custom templates by selecting the dropdown icon in this section. You are also able to create or edit templates by selecting the gear icon to the right of the template dropdown. You also have an option to add information to the

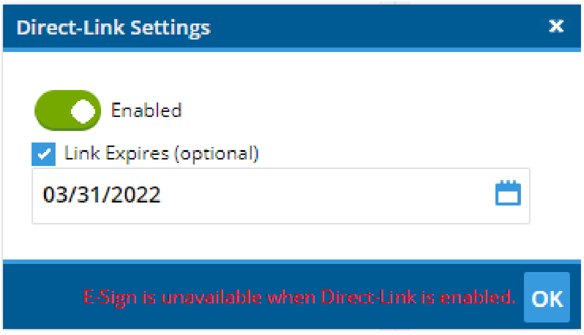
8. **Portal Message**, which is the message that displays within the portal view for your users. This can be left blank, you may be able to enter a custom message, or you can elect to have the e-mail invitation copied to the Poral messages by marking the indicated box below.

9. **Folder Name:** This allows you to specify a folder for the documents you are publishing to portal. This is often used to help organize documents by specific years or item type.

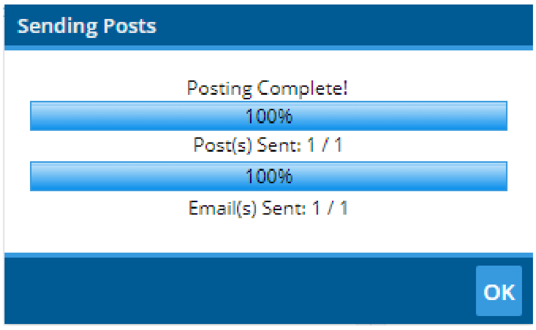
10. **Add ToDo with Portal Access:** Users can add non-action items to a client’s ‘To Do’ list, triggering reminders, if set in Global Email Settings. E-signing tasks will appear on the To Do list, but viewing the document for non-signers will not unless the box is checked.

11. **Finishing Options/ Post + Send**: The tricolon allows users to preview the communication before posting and sending them. The Direct Link option (indicated by to linked chains) lets Portal Users access documents within the communication without logging into the portal. When enabled the link will turn green. **Note: Direct Link cannot be used when sending items for e-signature.**

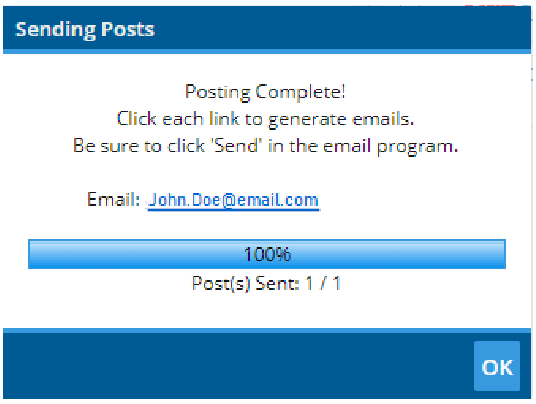
When Using Direct Link, you can also set an expiration for how long the link is viable:



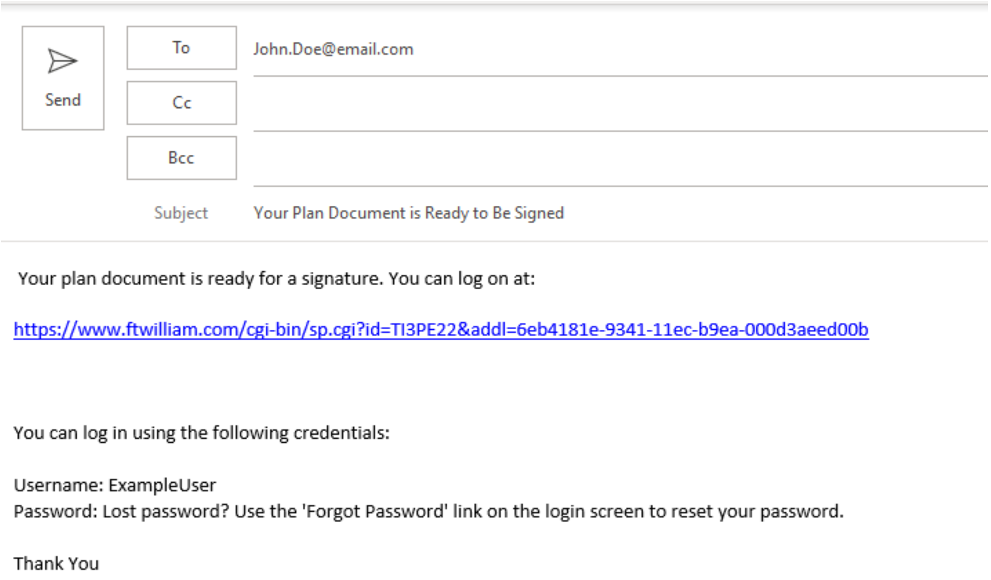
Dependent upon your e-mail settings, and which option you choose, you will receive a pop-up progress bar window. In the following instance documents were published to portal and an e-mail communication was sent using the Specify a Server settings:



If you are utilizing the Preparer's Email settings when sending communications, the progress window will populate with e-mail addresses to select to send the communication. **You must select the email hyperlink on this window to open the email and send to your clients**:



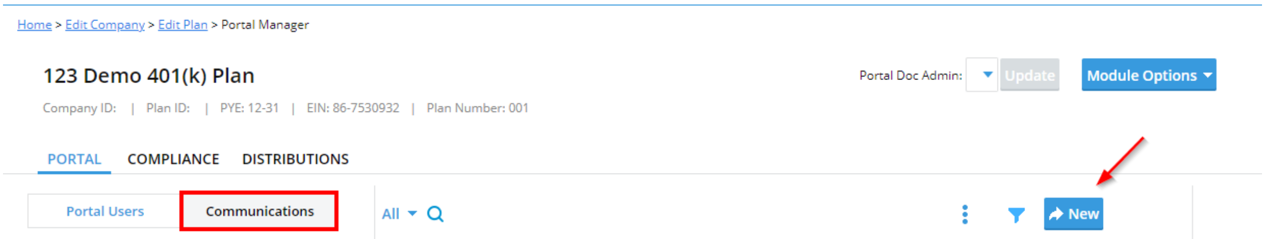
When you select the Email address from the progress window, the e-mail will populate in your e-mail provider for you to send:



How to Publish a Document to the Portal for E-Signature That Does Not Originate in the FTW Software

Similarly, to publishing an item to the portal from within the document's module, you are also able to publish items that do not originate within the ftwilliam.com software to the portal for your clients to view or e-sign.

In these instances, navigate to the Plan level Portal Dashboard, and select the Communications tab, and select New:

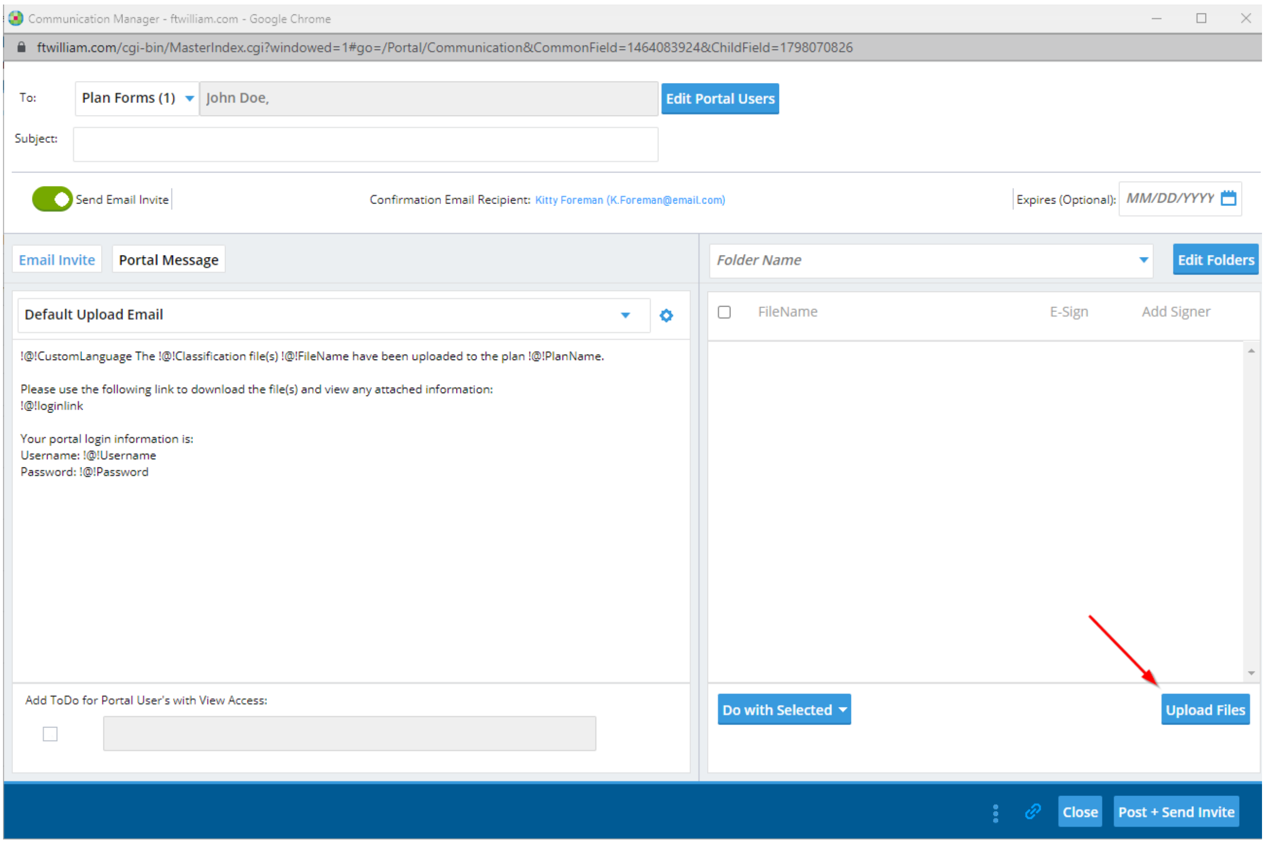


We recommend reviewing the communication from top left to bottom right (with the caveat of adding e-signature to items) **starting with the communication Classification:**

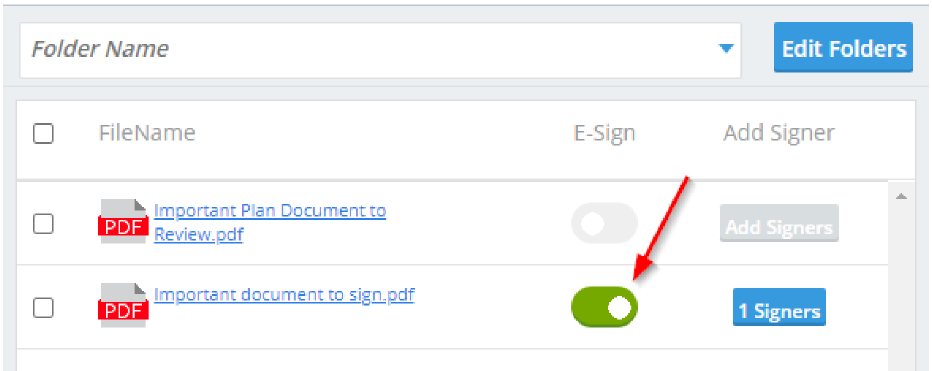
A. Classifications: When you create a new communication within the portal module from either the Global or Plan level dashboard, this will automatically be set to Direct Message. You will want to alter this first prior to adding documents to share or items for e-signature. This field will identify each portal user within the plan who has permissions for that Classification.

Once this is updated, we suggest you then add any items for e-signature prior to making additional selections as this will impact the available e-mail templates.

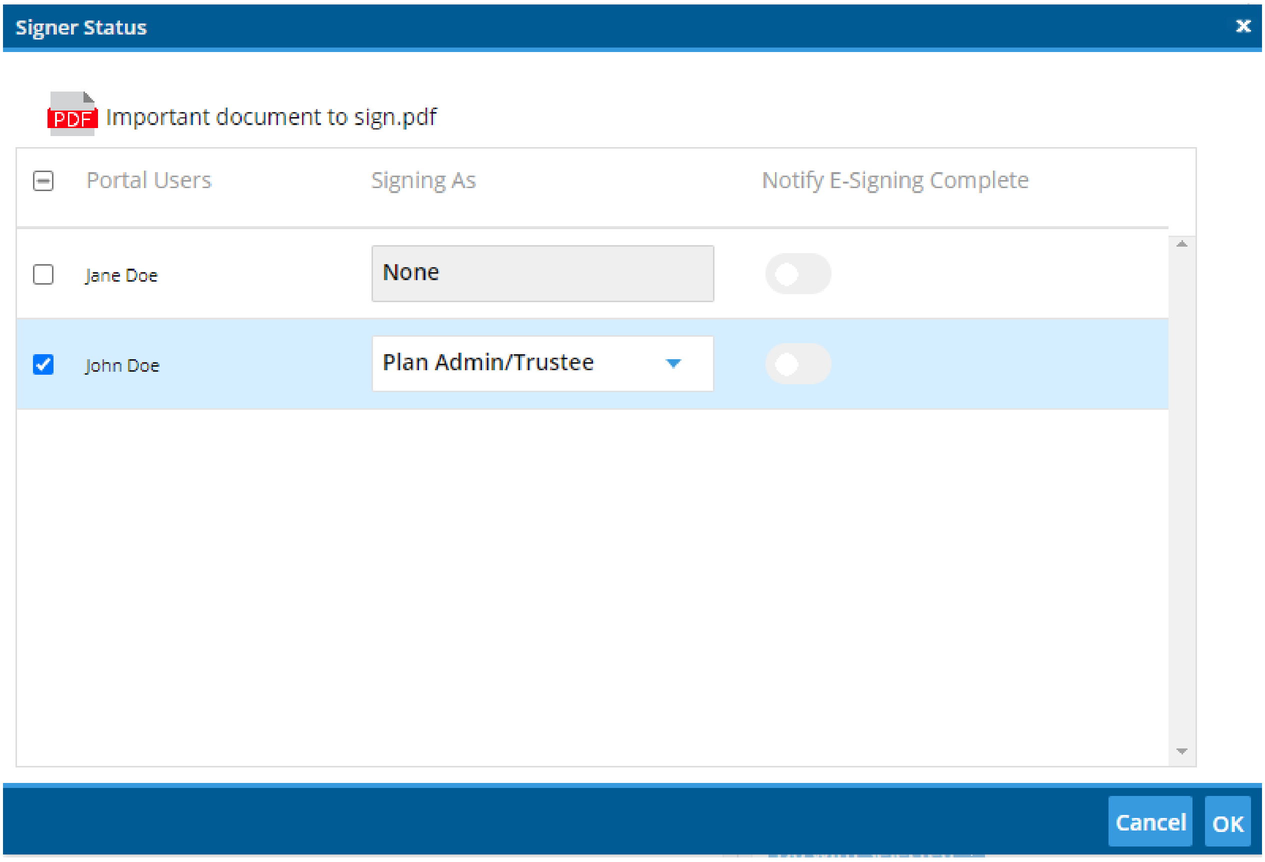
You may add your documents by selecting the Upload Files link in the communications bottom right corner. A window will then popup for you to select the files from your computer to import.



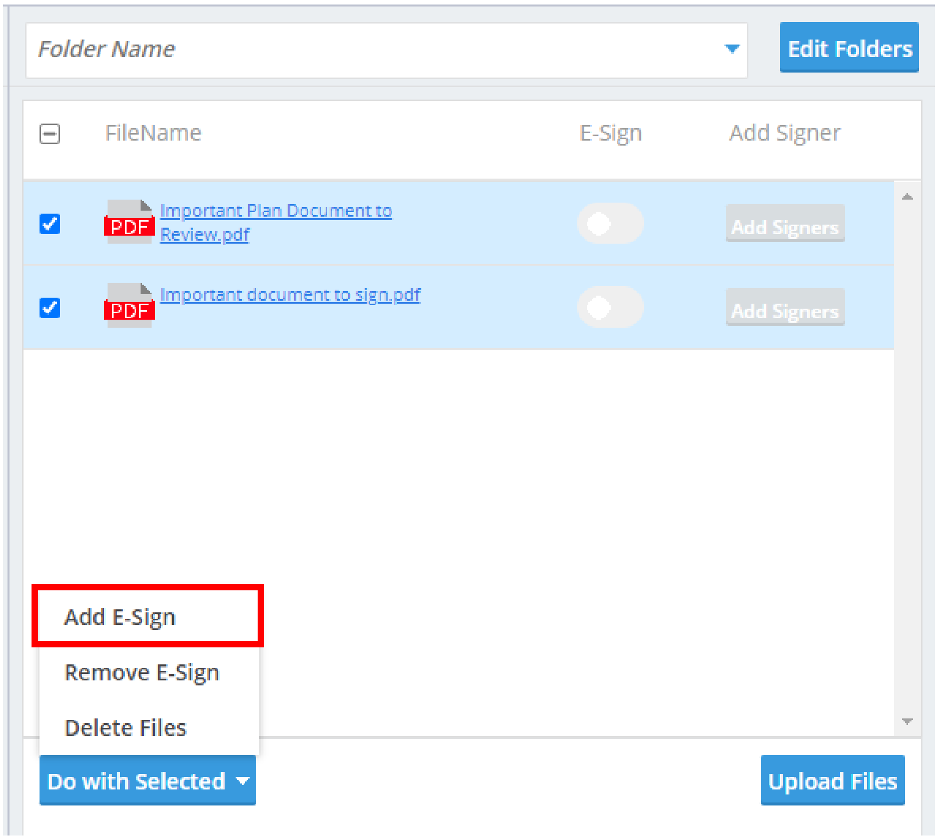
Setting Single Items for E-Signature: If you wish to set e-signing per document, you may do so by selecting the e-sign toggle to the right of the document name. When this is selected the document will be converted to a .PDF, the toggle will turn green, and the number of available signers for the plan (those set with signing permissions) will populate to the right of the toggle:



If you select the "#Signers" button you will be able to see who is set for signing as well as their signing designations, you may add other users if needed, and set up additional confirmations (the confirmations are available if you do not have Global confirmations set for documents):



Setting Multiple Items for E-signature: If you have multiple items you would like to mark for e-signature, you may select the check box next to the file name, then click on “Do with Selected”, and “Add E-Sign”. The Documents will then be converted to .PDF, the E-sign toggle will turn green, and you will see the number of available signers and their designations by selecting the “# Signers” button to the right as indicated in the above instructions for setting e-signature for individual documents.



If you are not setting any items for e-signature, or if you have already made your e-signature selections, we recommend you continue to review the communication from top to bottom in the following order:

B. Edit Portal User: The Users listed in the "To" field are those that have permissions to view the documents in the communication. You can add or remove user permissions by selecting the Edit Portal Users Link to the right of this field.

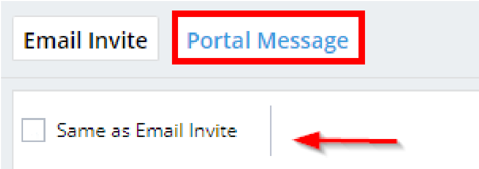
C. Subject: Each communication needs a subject for it to be sent.

D. Send Email Invite: This toggle option indicates whether a communication will be sent to the portal user that the items are available, or you can choose to simply publish the items to the portal without sending them an email invitation.

E. Confirmation Email Recipient: This field indicates who will receive a confirmation that the Portal User has downloaded or e-signed the documents in the communication (this will either be the Admin associated with the plan or the Master User on the account)

F. Expiration Field: this field allows you to set an expiration date. Once this date has passed these documents will no longer be on the Portal Users Portal. (This is an uncommon field, as most users would like their portal users to have access to these documents in an ongoing basis.)

G. Email Invite: This is the field that indicates what template to use when sending the invitation to your portal user to inform them they have items to review or sign. You can select from system generated or custom templates by selecting the dropdown icon in this section. You are also able to create or edit templates by selecting the gear icon to the right of the template dropdown. You also have an option to add information to the **Portal Message**, which is the message that displays within the portal view for your users. This can be left blank, you may be able to enter a custom message, or you can elect to have the e-mail invitation copied to the Poral messages by marking the indicated box below.

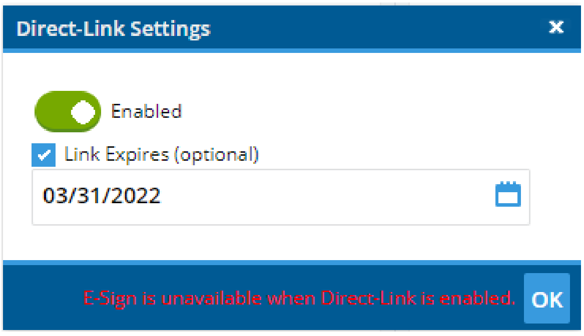


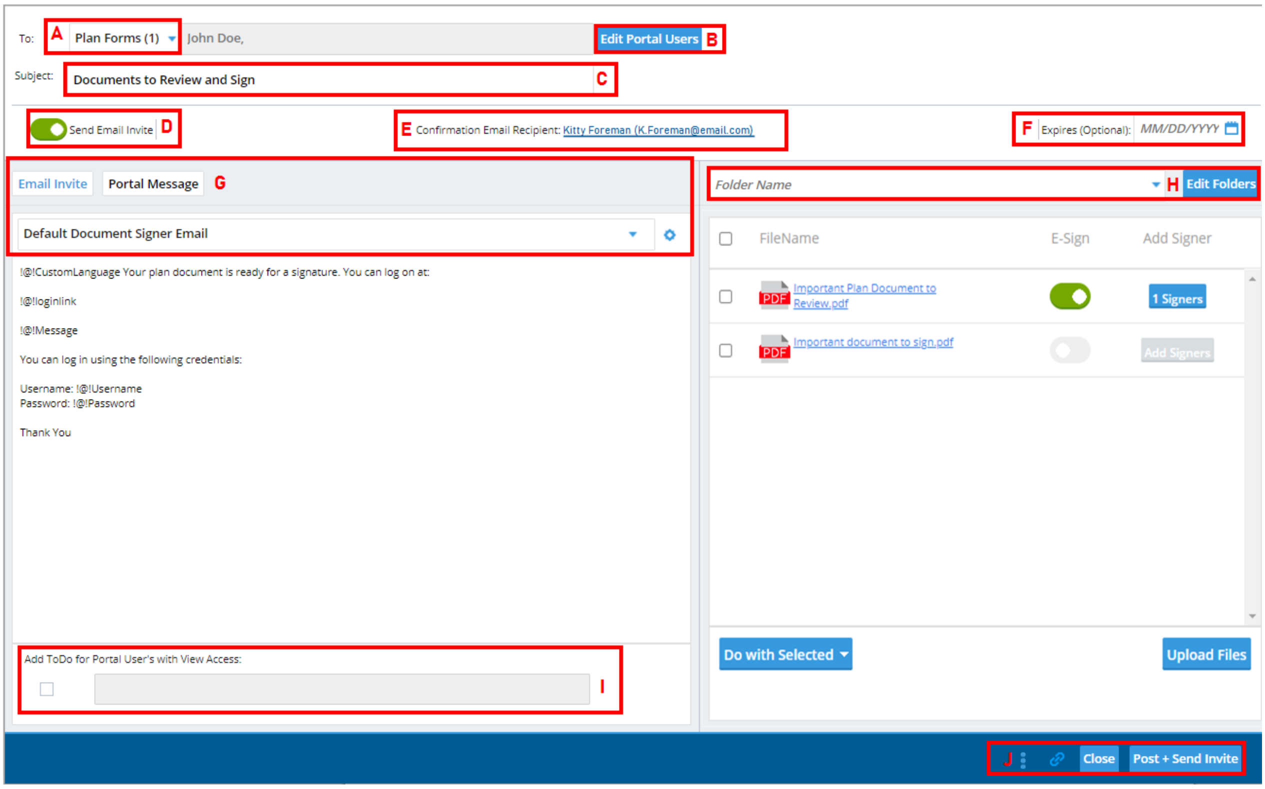
H. Folder Name: This allows you to specify a folder for the documents you are publishing to portal. This is often used to help organize documents by specific years or item type.

I. Add ToDo with Portal Access: this allows you to add items that do not require actions to a client's 'To Do' list. Adding items to the To Do list will also trigger reminders if reminders are set in the Global Email Settings. The task of E-Signing a document will appear on the portal user's To Do List. Yet, allowing the portal user to have view access to the document after E-Signing will not. If you would like to add viewing the document to the user's To Do List after E-Signing, be sure to check the box.

J. This field contains the ability to **Preview** your communication as well as create a Direct Link, the direct link option (that looks like two chains linked together) offers users the ability to access the documents within the communication/Direct Message without having to log in to the Portal. **Please Note:** Direct Link cannot be used for items set for e-signing. When Direct Link is enabled, the link will turn green:

When Using Direct Link, you can also set an expiration for how long the link is viable:





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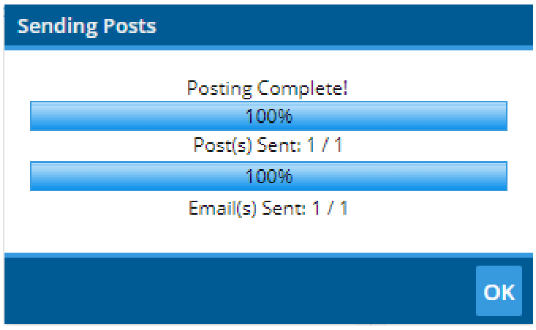
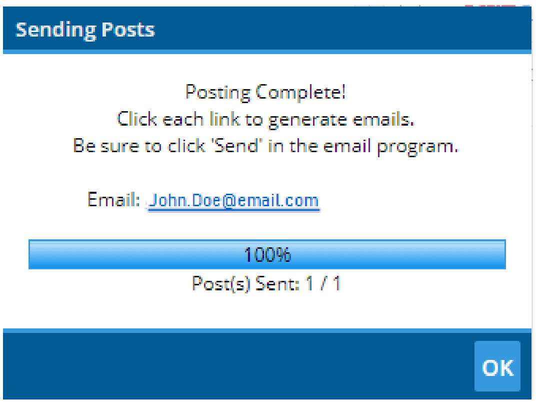
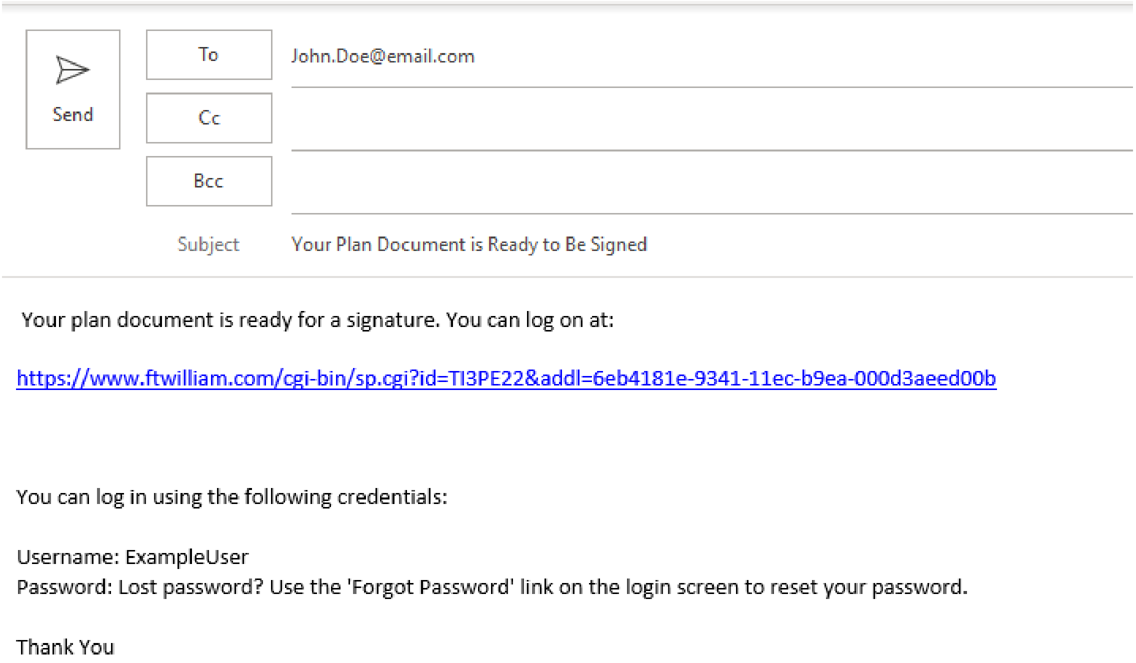


If you are utilizing the Preparer's Email settings when sending communications, the progress window will populate with e-mail addresses to select to send the communication:

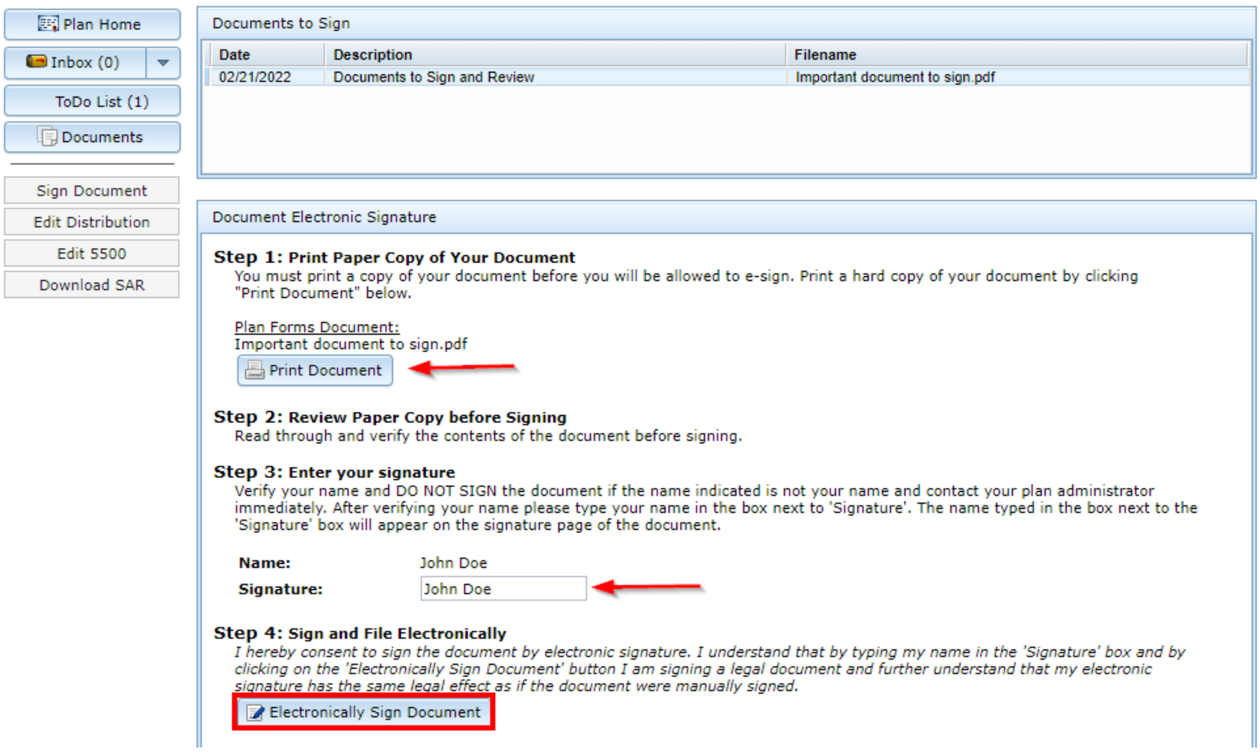


When you select the Email address from the progress window, the e-mail will populate in your e-mail provider for you to send:

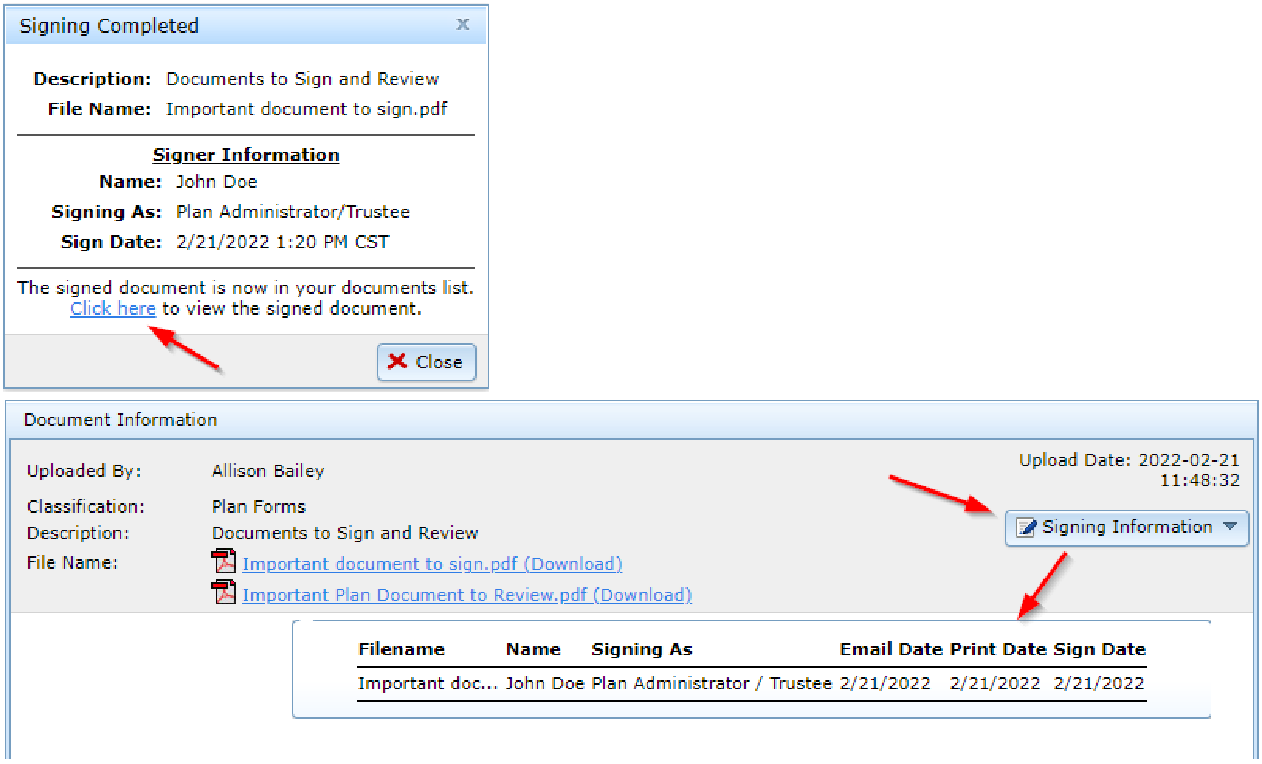


Description of the Client's E-signing Experience

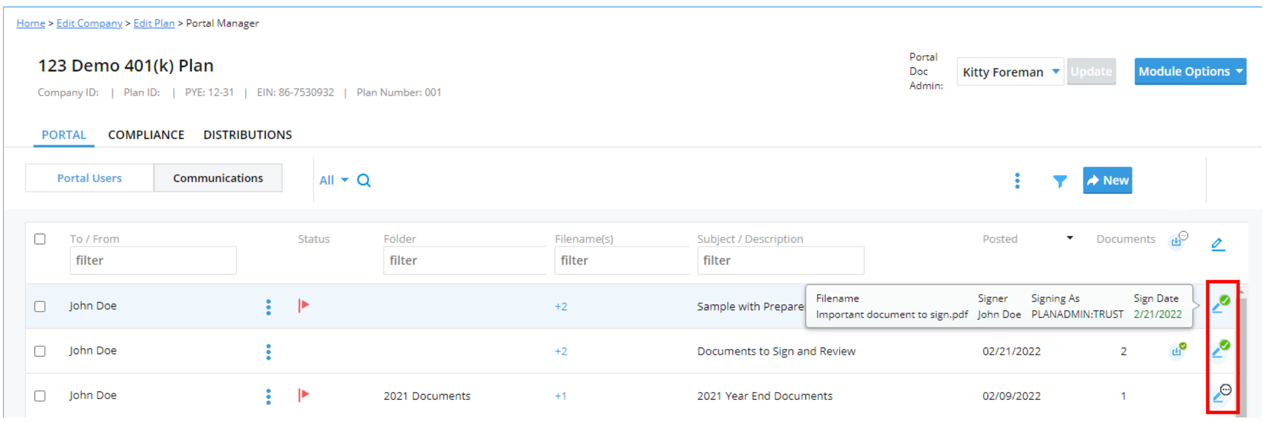
Once the items have been published for review or e-signature, the portal user will receive a link to the Electronic Signature screen. This is similar to the e-sign process of the Form 5500/SF/EZ. The portal user must first print a copy of the Document. Then, the fields will un-gray so that the portal user may enter his/her name in the signature field and click on ‘Electronically Sign Document’.



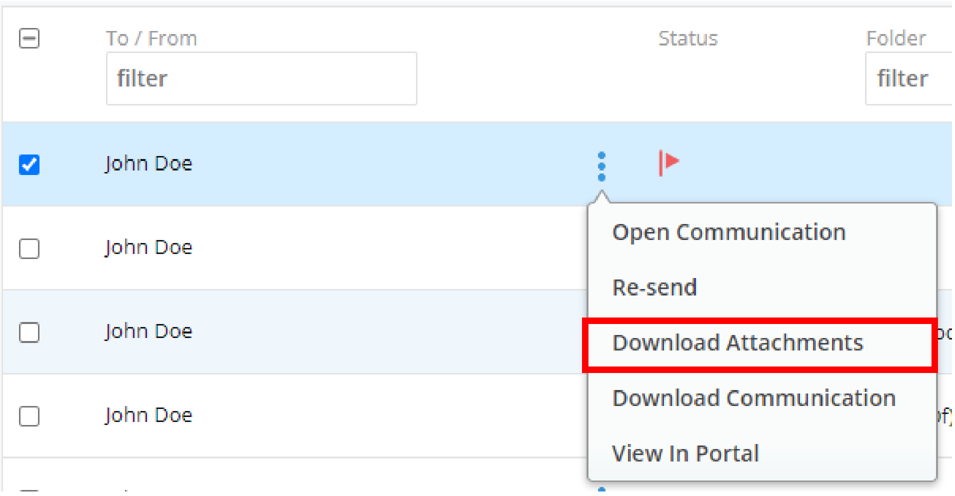
When the last signer to log into the portal to e-sign, signs, a pop-up will display for the signer letting him/her know the signing process has been completed. If the user has view access, then they can click on the ‘Click Here’ to go directly to the document. Otherwise, it will appear in the user’s ToDo list, if applicable, or beneath the New Document list. The portal user will see a drop-down for the Signing Information, that once clicked on will summarize the signed status. The portal user will also be able to download a copy of the signed .pdf to view the e-signed signature blocks.



As the TPA viewing the Document List for the specific plan, you will be able to see the e-sign status, by hovering over the pencil on the far right of the dashboard. Items awaiting signature are denoted with a pencil icon with '…', if the items have been completed there will be a green check mark above the pencil. Hovering over the pencil will show the file name, signers name, signers Designation, and the date of signature:

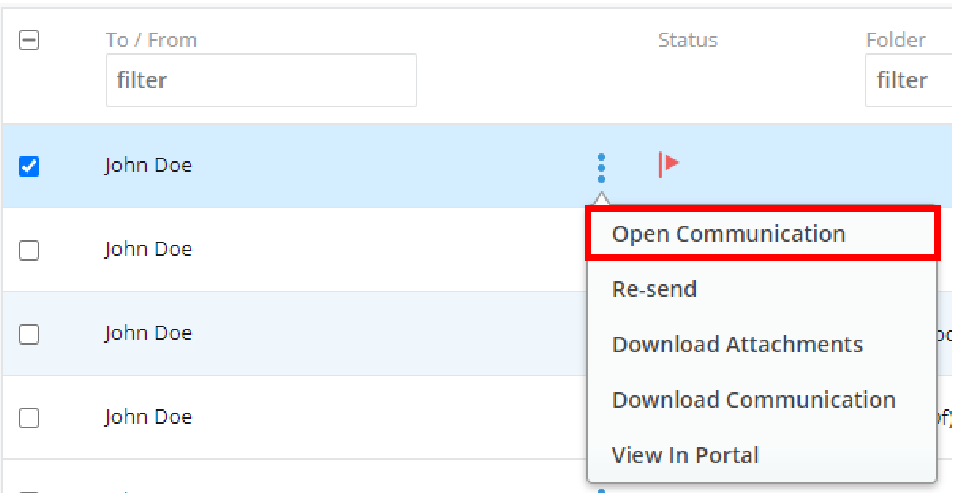


To obtain a copy of the signed documentation, you may either click on the menu icon (tricolon) of that communication and select 'Download Attachments' which will provide all of the attachments in the communication as well as their signature pages:

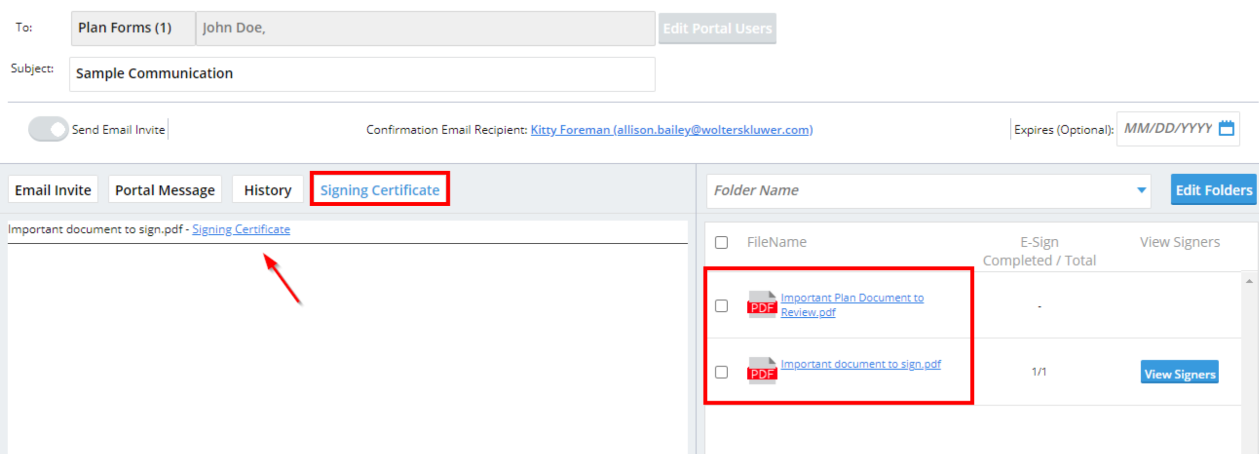


If the items originated from the software, the signature block will populate on each document signed. (**Note**: if documents were created outside of the software and were uploaded through the portal the signature block will be appended to the end of the document).

Alternatively, you may select the menu button (tricolon) on the communication and select 'Open Communication':



Here you can download the individual documents with signature, as well as view the signing certificate:



SIGNING CERTIFICATE

The undersigned Software Vendor hereby certifies that the Designated Person(s) below electronically signed the document 'G2RKHGR36FNJ' through a system that reliably authenticates and verifies the adoption of the document.

123 Demo 401(k) Plan
Signature: /s/ John Doe
Print Name: John Doe
Signing As: Plan Administrator
Title/Position:
Sign Date and Time: 2/21/2022 12:52 PM CST
CertificationID: G2RKHGR36FNJ-1

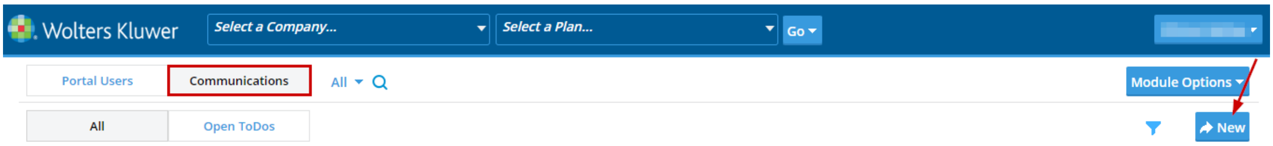
Signature: /s/ John Doe
Print Name: John Doe
Signing As: Trustee
Title/Position:
Sign Date and Time: 2/21/2022 12:52 PM CST
CertificationID: G2RKHGR36FNJ-1

Sending and Receiving Direct Messages

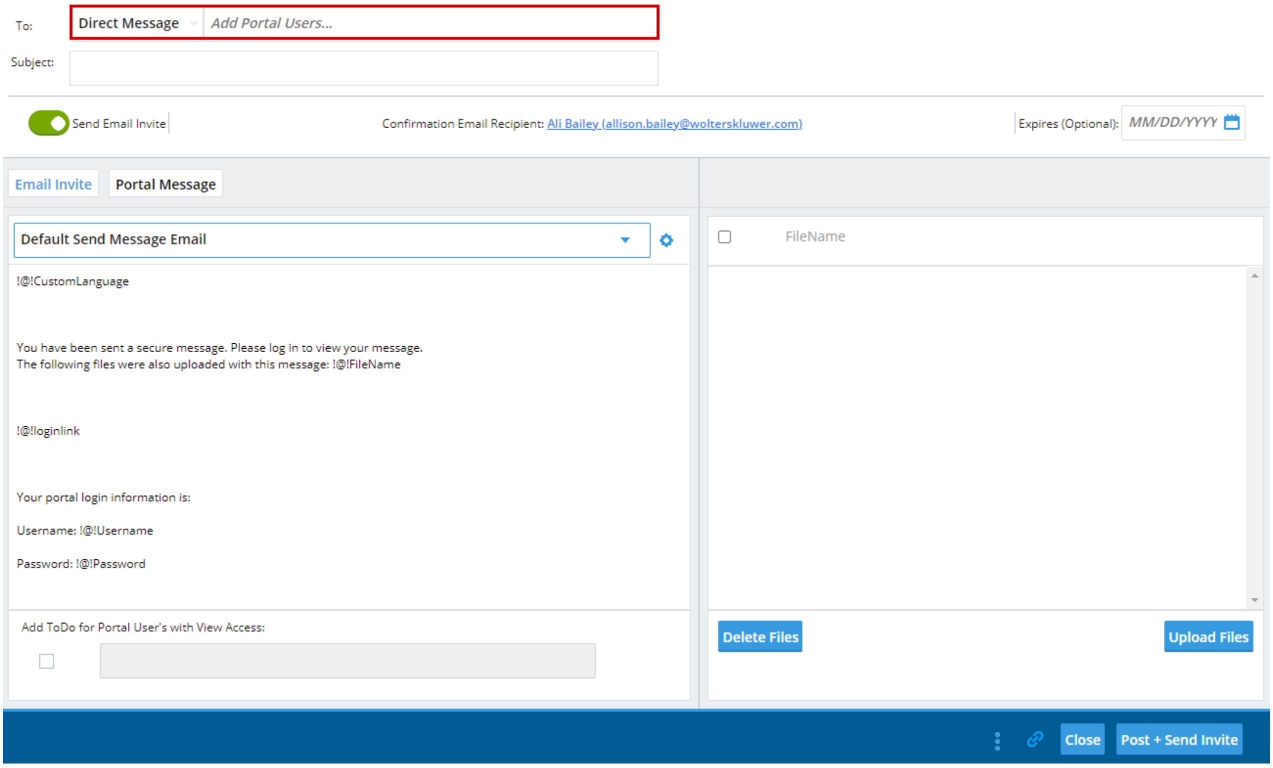
Portal allows users to securely send communications and files that do not require e-signature through Direct Messages.

Please note, the Portal User does not have to be associated with a particular plan for them to receive a Direct Message. As such, all Direct Messages sent to and from Portal Users will populate on the Global Dashboard rather than on a Plan level dashboard. (However, Direct Message may be created from the Plan or Global level dashboard.)

To send a message, navigate to either the Global or Plan level dashboard, select the Communications Tab, and New:



All 'New' communications begin as Direct Messages until the Classification is updated. The main differences between a standard communication through the Portal and a Direct Message is that any portal user may be added tc a Direct Message regardless of plan association, and documents attached are not available for e-signature:

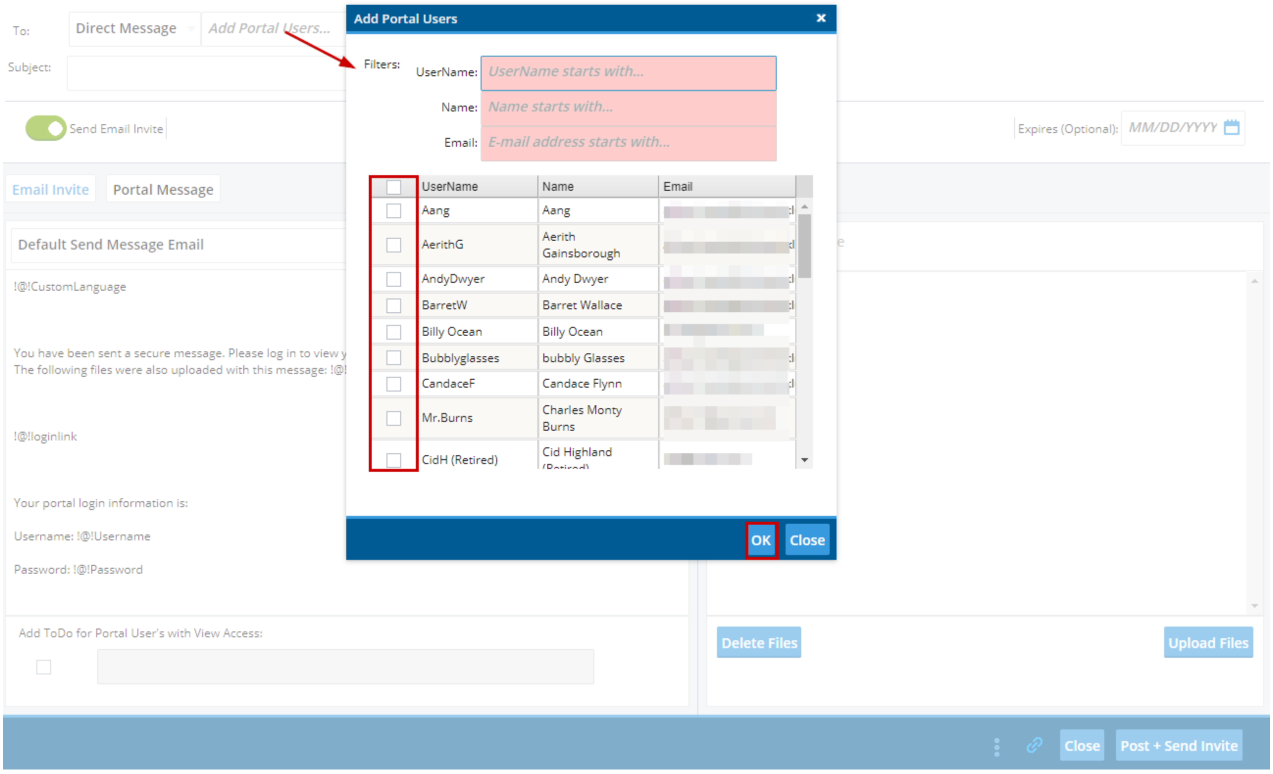


Once 'New' is selected the Direct Message will populate like the standard communications sent through the portal. To add portal users, click on the 'Add Portal Users' space next to the Direct Message classification. From here there are multiple options:

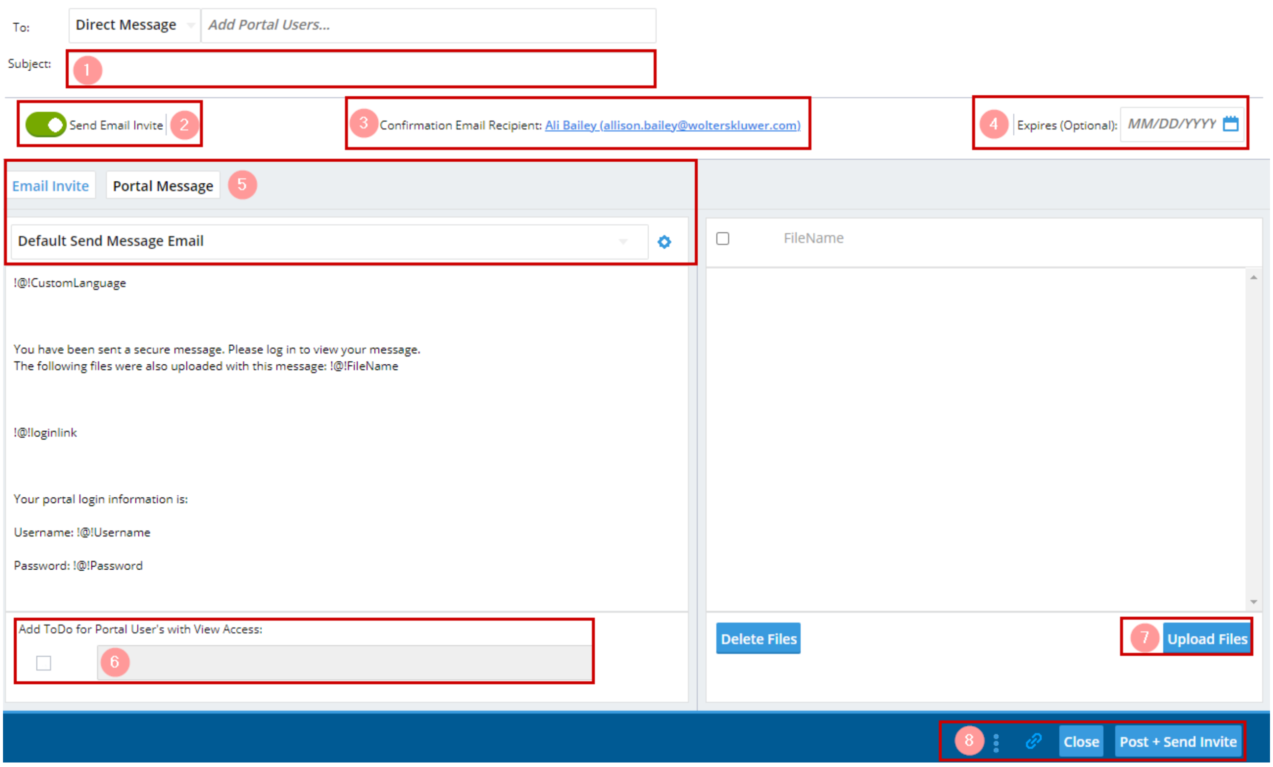
a. Search by Username, Name, or E-mail

b. Select portal users individually by clicking on the check box next to the user's name

c. Select all users by checking the box in the header next to the username



Once the Users are added, ensure all the fields are completed starting with the Subject and review the Direct Message from top to bottom just as we advise for any communication:



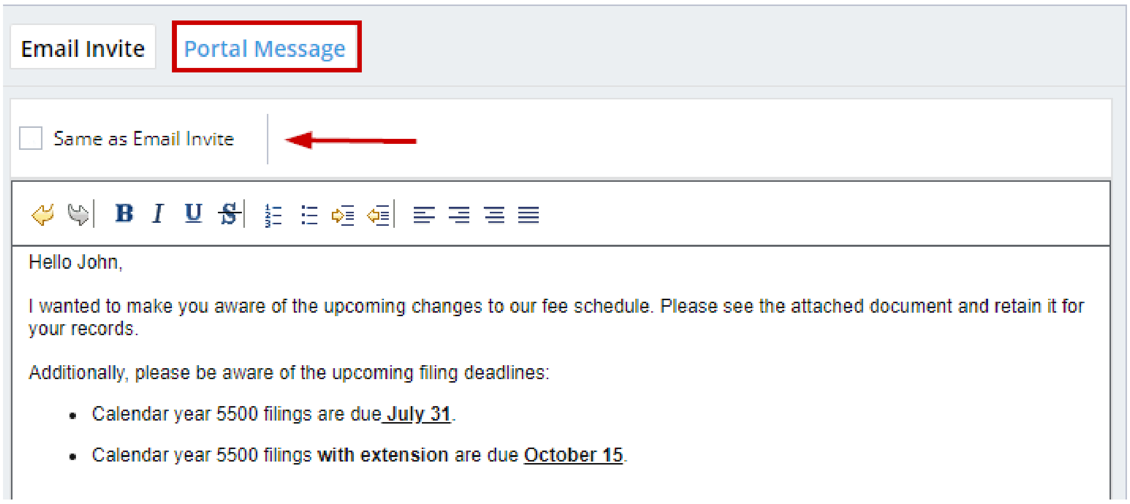
1. Subject: Each communication needs a subject for it to be sent.

2. Send Email Invite: This toggle option indicates whether a communication will be sent to the portal user that the items are available, or if toggled off the message and documents will be published to the portal without sending an email invitation.

3. Confirmation Email Recipient: This field indicates who will receive a confirmation that the Portal User has downloaded or accessed the documents in the communication (this will either be the Admin associated with the plan or the Master User on the account). This is also the user alerted when a Portal User responds to a Direct Message.

4. Expiration Field: this field allows an expiration date for the message. Once this date has passed these documents will no longer be on the Portal Users Portal. (This is an uncommon field, as most users would like their portal users to have access to these documents in an ongoing basis.)

5. Email Invite: This is the field that indicates what template to use when sending the invitation to your portal user to inform them they have items to review or sign. You can select from system generated or custom templates by selecting the dropdown icon in this section. You are also able to create or edit templates by selecting the gear icon to the right of the template dropdown. You also have an option to add information to the **Portal Message**, which is the message that displays within the portal view for your users. This can be left blank, you may be able to enter a custom message, or you can elect to have the e-mail invitation copied to the Poral messages by marking the checkbox indicated below.

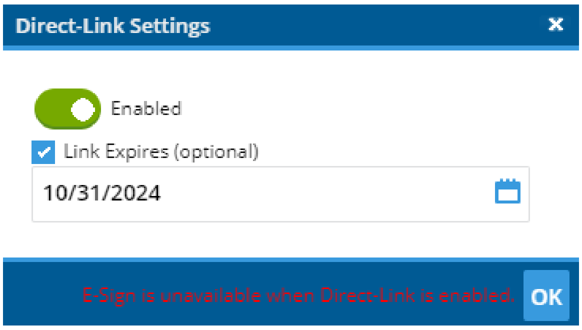


6. Add ToDo with Portal Access: this allows you to add items that do not require actions to a client's 'To Do' list. Adding items to the To Do list will also trigger reminders if reminders are set in the Global Email Settings.

7. Upload Files/File Name- Attach any files you wish for the users to review, when using Direct Messages please note that anyone on the message is able to view the files, so you want to ensure these are generic and not plan specific documents.

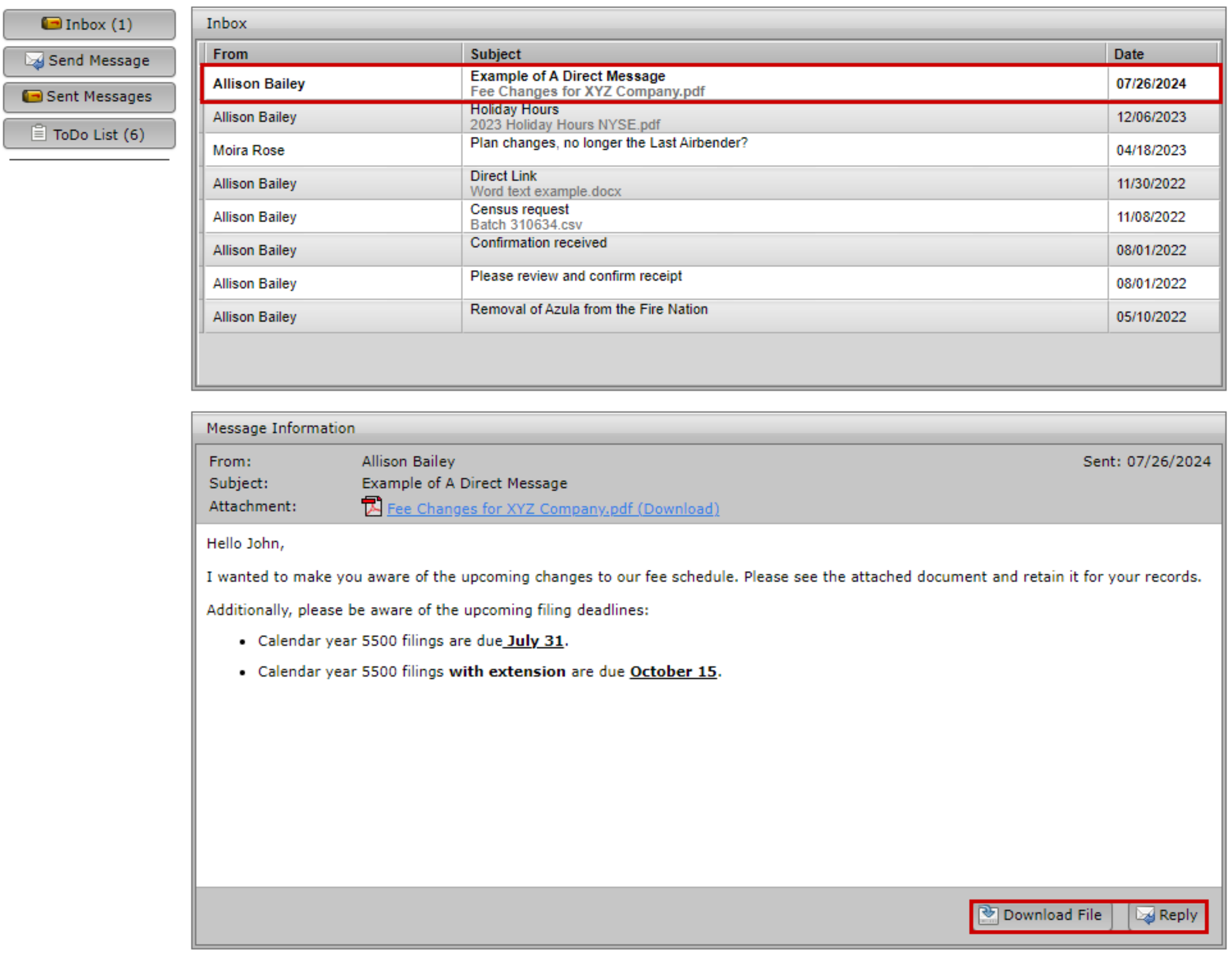
8. This field contains the ability to **Preview** your communication as well as create a Direct Link, the direct link option (that looks like two chains linked together offers users the ability to access the documents within the communication/Direct Message without having to log in to the Portal. **Please Note:** When Direct Link is enabled, the link will turn green:

When Using Direct Link, an expiration date may be set for how long the link is viable:



You may also **Publish** the items to portal which will post the items without an e-mail being sent to the Portal User (this option populates when the 'Send Email Invite' toggle from item D has been turned off). Lastly there is the **Post and Send** option which will publish the items to the client portal as well as send the e-mail communication alerting them there are things to review within the Portal.

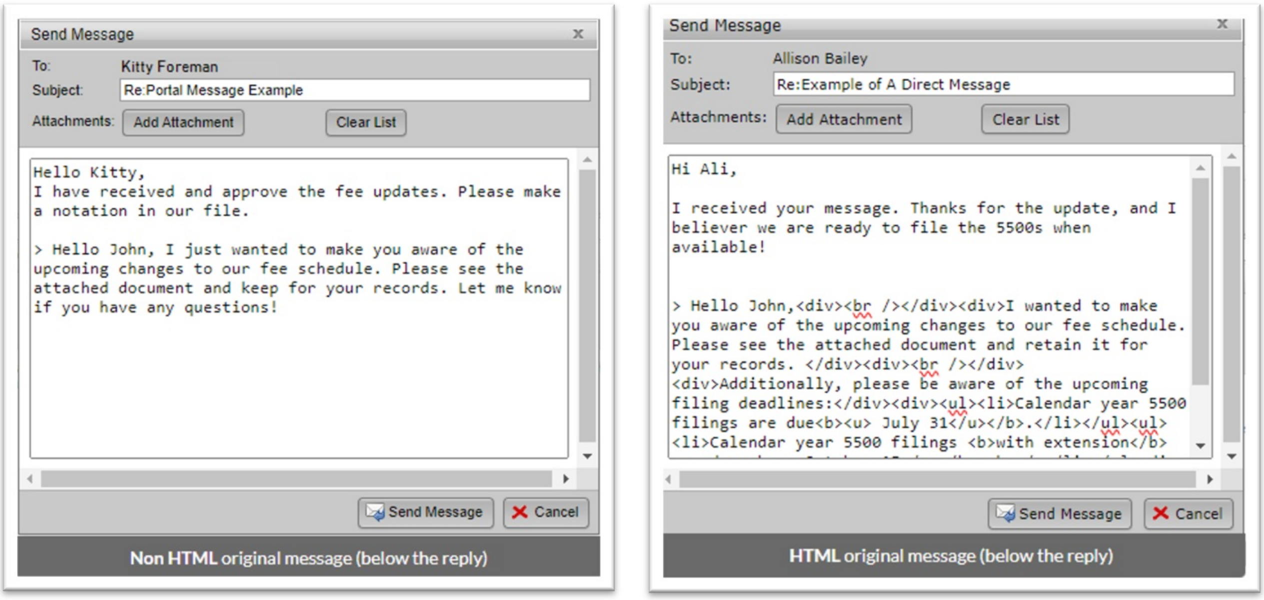
The image below is a screenshot from a sample portal user's perspective. The message you sent (and any attachment if applicable) is available in the portal under ' Inbox'. If the user has rights to send messages, the user will see the 'Reply' button shown.



If the user clicks to 'Reply' to a message, the screen shown at below will be displayed with options to add/modify the subject, message body, and add an attachment. The original message will be displayed below the new message (although users can delete this text if they wish).

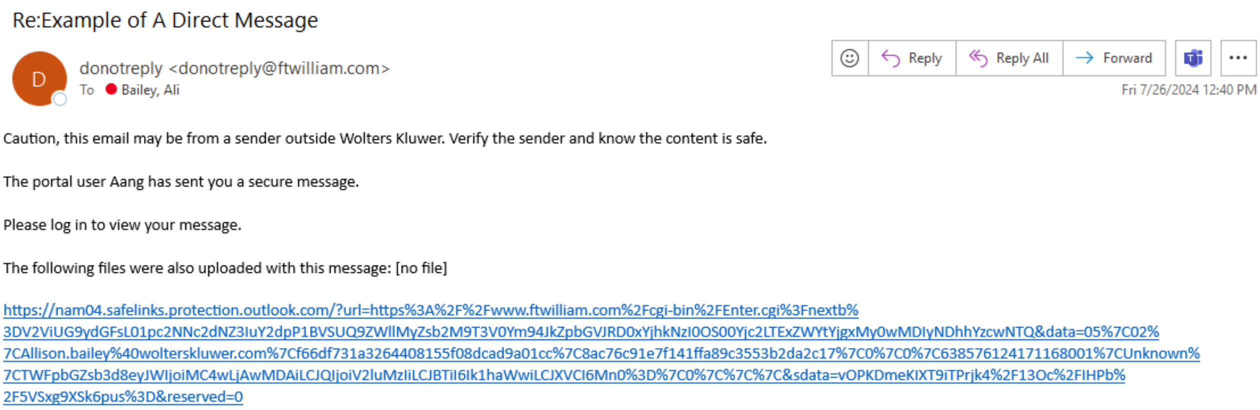
Note: Reply messages are not formatted, so if the message was sent with HTML functionality the reply will display with the original message with the programmed formatting. Below is an example with the original in HTML and

Non-HTML:

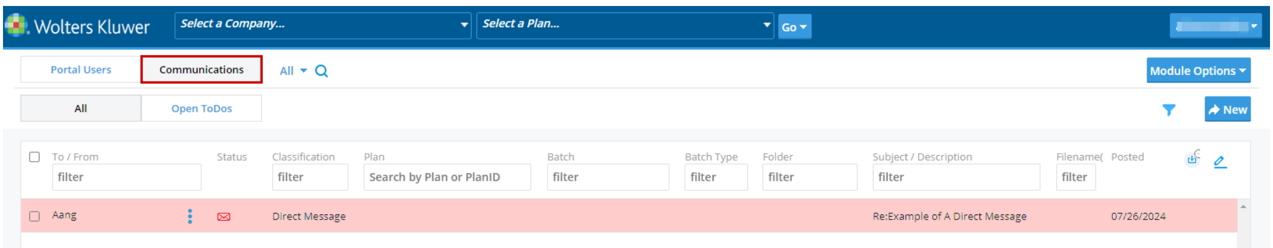


Portal users can view Received and Sent messages until the ftwilliam.com user deletes the messages. *Portal users do not have rights to delete messages.*

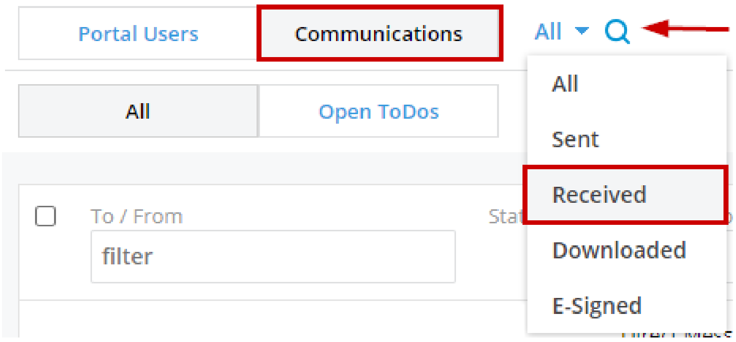
When a reply message is sent, if notifications are turned on in the Global Email Settings, you will receive an e-mail alert with a link to access the message. *(As shown below some e-mail providers will run the link through filters which will alter how the link appears.)*



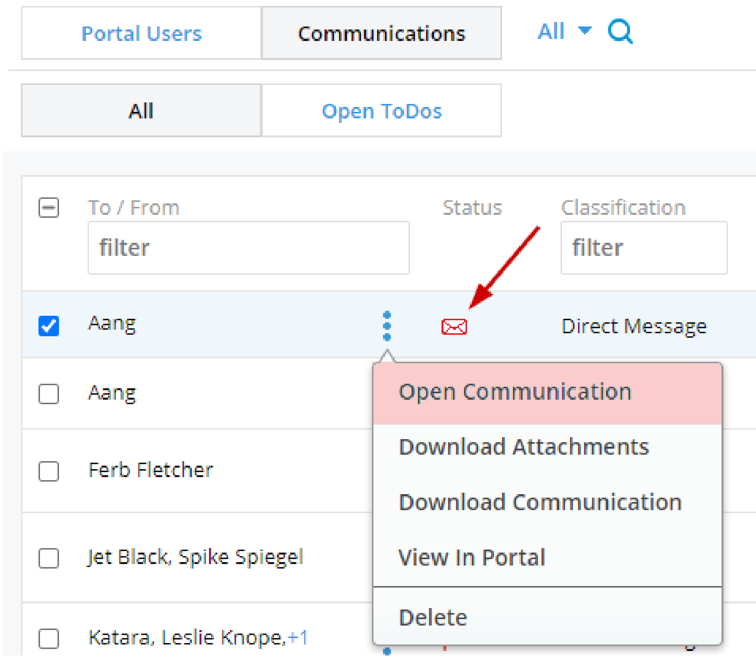
Selecting the link will first require logging back into the software, but will direct you to the Global Dashboard filtered to only that communication:



Alternatively the response may be reviewed without the link, by navigating to the Portal Global Dashboard >Communications Tab. We suggest sorting the dashboard by messages received to differentiate Direct Messages from communications:

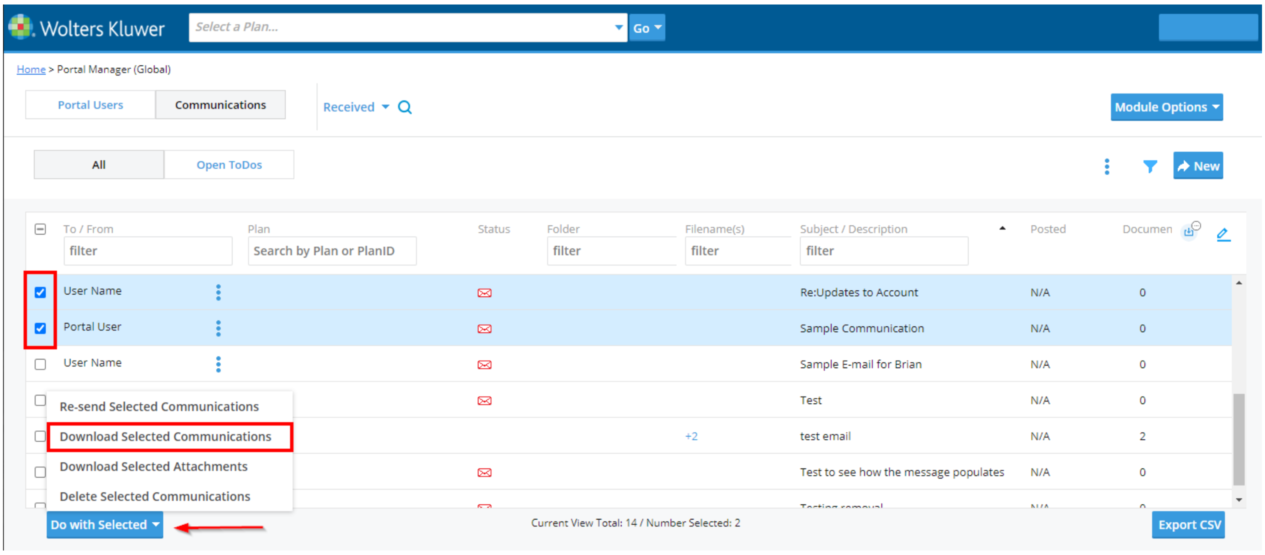


All Direct Messages (either sent or received) are indicated by a small red envelope to the right of the communication under the ‘Status’ heading, select the menu button (tricolon) next to the communication and ‘Open Communication’ to view the response.



Saving Copies of Sent or Received Messages and Communications

If you would like to download copies of your communications including Direct Messages you may do so by navigating to Global or Plan level dashboard (keep in mind Direct Messages are only located on the Global Dashboard, you are able to download any other communication from the Plan or Global dashboard.) From here you can select the communications you would like to export to store outside the software by putting a checkmark to the left of the communication. Once selected, click on the ‘Do with Selected’ option below the grid and select the ‘Download Selected Communications’.



This will create a zip file that contains the indicated messages and will itemize the files by the Portal Users Name:

Once you open the Portal Users file name, you will see folders sorted by 'Sent' and 'Received' (if you only download messages that were received back from the user, only the received folder will populate.)

Once the folder is opened the communications will be itemized once more by the individual communication and the date in which it was received in the naming convention: