

# Part 9: Tools/Settings

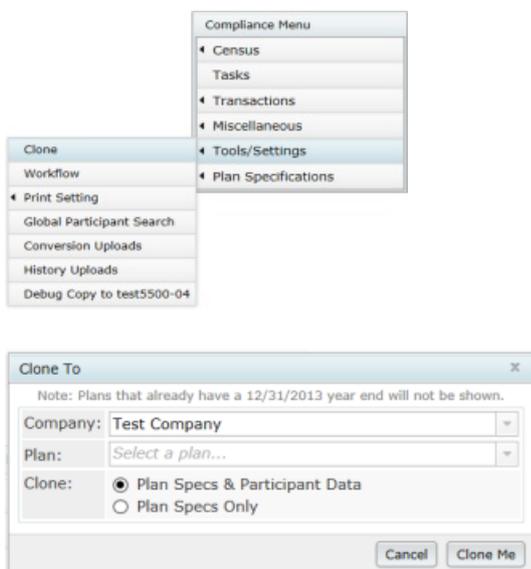
10/29/2024 4:34 pm CDT

## 9.1. Clone

The “Clone” feature allows you to make an exact copy of a plan, within the Compliance software. You will first need to add a plan to the database - this will be the destination plan; you may clone plan specifications only, or both plan specifications and participant data.

- Clone Plan Specs and Participant Data – in addition to copying plan parameters, investment accounts and sources, census data, transaction batches and participant loans will also be copied.
- Clone Plan Specs Only – this will copy plan specifications for the current plan year, including plan parameters, investment accounts and sources. Please note that census data, transactions and loans will not be copied with this option.

The “Clone feature” is located in the Compliance Menu, under “Tools/Settings”.

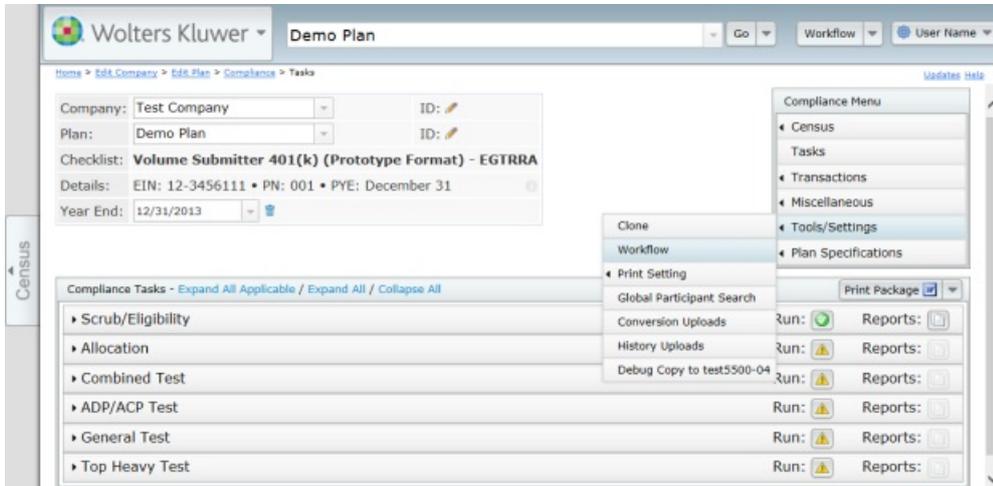


The “Clone Me” feature will create a copy of the plan Compliance module data to another plan. Below are the suggested steps to clone a plan year end.

1. Create the destination plan – the plan that you wish to copy the original plan to.
2. Select the original plan and go to the Compliance software.
3. Click the “Clone” link
4. Select the Company and Plan you wish to copy the existing plan to.
5. Select “Clone Plan Specs only” or “Clone Plan Specs and Participant Data”.
6. When you see “Plan is cloned”, return to the previous screen.
7. Navigate to the clone.
8. If you cloned participant data you will need to run the data scrub, allocations & testing.

## 9.2. Workflow

The Workflow Grid is located in the Compliance Menu, under “Tools/Settings”, by clicking “Workflow”.



This is a global grid, listing each plan under a customer’s account to which a year end has been added in the Compliance software and showing whether or not each task has been run. Most entries in the grid are automatically updated by the software when the task in question is performed. Note that you can sort any column by clicking on the column name; you can also export the grid to Microsoft Excel via the “Download Spreadsheet” link.

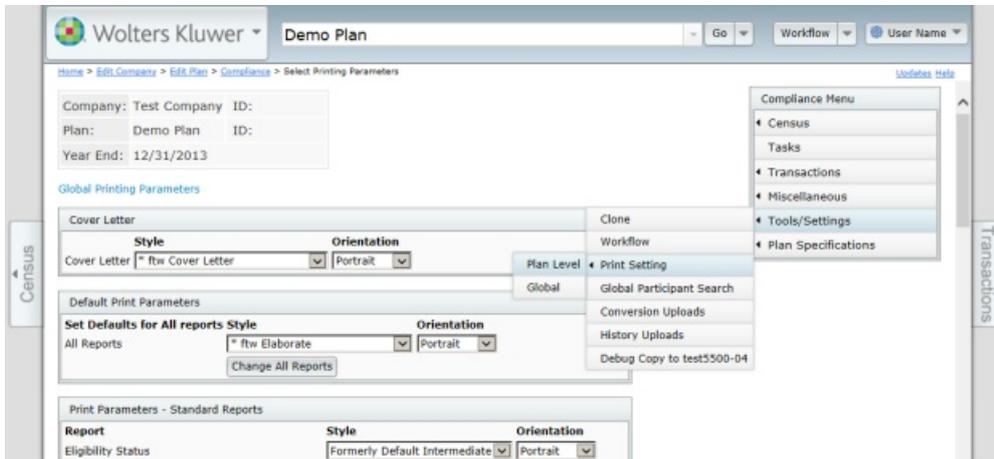
A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	
1	Review Detail Compliance Status																		
2																			
3	PlanName	Yr End	Cen Prep	Cen Prep C	Cen Send	Cen Rec	Cen Rec Date	Cen Delive	Scrub	Scrub Date	Alloc	Alloc Date	ADP/ACP	ADP/ACP Date	Comb	Comb Date	GenTest	GenTest Date	
4	Top Heavy	12/31/2010				Run	2/20/2012 10:21		Run	2/20/2012 10:52	Not run			Not run				Not run	
5	Top Heavy	12/31/2010							Run	8/2/2013 10:26	Run	11/27/2013 10:36	Not run					Not run	
6	Top Heavy	12/31/2012																	
7	Top Heavy	12/31/2012				Run	11/5/2013 10:38		Run	11/5/2013 10:38	Run	11/27/2013 10:35	Not run					Not run	
8	Top Heavy	12/31/2011				Run	3/6/2013 10:21		Run	3/6/2013 11:00	Run	3/6/2013 11:00	Not run			Run	3/6/2013 11:00	Not run	
9	Top Heavy	12/31/2012				Run	6/19/2013 10:48		Run	6/19/2013 11:34	Not run			Not run				Not run	
10	Top Heavy	12/31/2012				Run	6/19/2013 10:48		Run	6/19/2013 11:29	Run	6/19/2013 11:54	Not run					Not run	
11	Top Heavy	12/31/2012				Run	6/19/2013 10:48		Run	6/19/2013 11:13	Run	8/2/2013 10:15	Not run					Not run	
12	Top Heavy	12/31/2012				Run	6/19/2013 10:48		Run	8/2/2013 10:13	Run	8/2/2013 10:13	Not run					Not run	
13	Top Heavy	12/31/2011				Run	10/30/2013 12:49		Run	5/15/2015 10:35	Not run			Not run				Not run	
14	Top Heavy	12/31/2012				Run	10/25/2013 12:38		Run	10/25/2013 12:40	Run	11/27/2013 10:33	Not run					Not run	
15	Top Heavy	12/31/2012				Run	6/19/2013 10:48		Run	11/27/2013 10:43	Run	11/27/2013 11:04	Not run					Not run	
16	Top Heavy	12/31/2010				Run	3/28/2013 14:50		Run	5/11/2014 15:29	Run	6/11/2014 15:19	Not run					Not run	
17	Top Heavy	12/31/2015				Run	4/30/2015 11:54		Run	5/28/2015 14:40	Not run			Not run				Not run	
18	Top Heavy	12/31/2015				Run	4/30/2015 11:54		Run	5/28/2015 15:30	Not run			Not run				Not run	
19	MMO Dem	12/31/2012				Run	7/18/2012 10:37		Run	6/27/2012 12:06	Run	6/27/2012 12:06	Not run					Not run	
20	MMO 2	12/31/2010				Run	7/18/2012 10:21		Run	8/20/2012 10:09	Not run			Not run				Run	2/24/2013 13:40

The grid includes the following columns:

- Plan Name
- Year End
- Census Prep - whether the census has been prepared and posted to the portal (for portal customers only).
- Census Send - whether the census has been sent to the client via the portal (for portal customers only)
- Census Rec - whether the census has been uploaded
- Scrub - whether the data scrub has been run
- Alloc - whether the allocation has been run.
- ADP/ACP - whether the ADP/ACP tests have been run.
- Comb - whether the Combined Test has been run.
- Gen Test - whether the General Test has been run.
- Top Hvy - whether the Top Heavy Test has been run.
- C Pack - whether the Client Package has been prepared.
- Resp - for customer use to indicate whether responsible for the plan.
- Admin - for customer use to assign an Admin to the plan. All system users with Admin access will be available to select from the drop-down box.

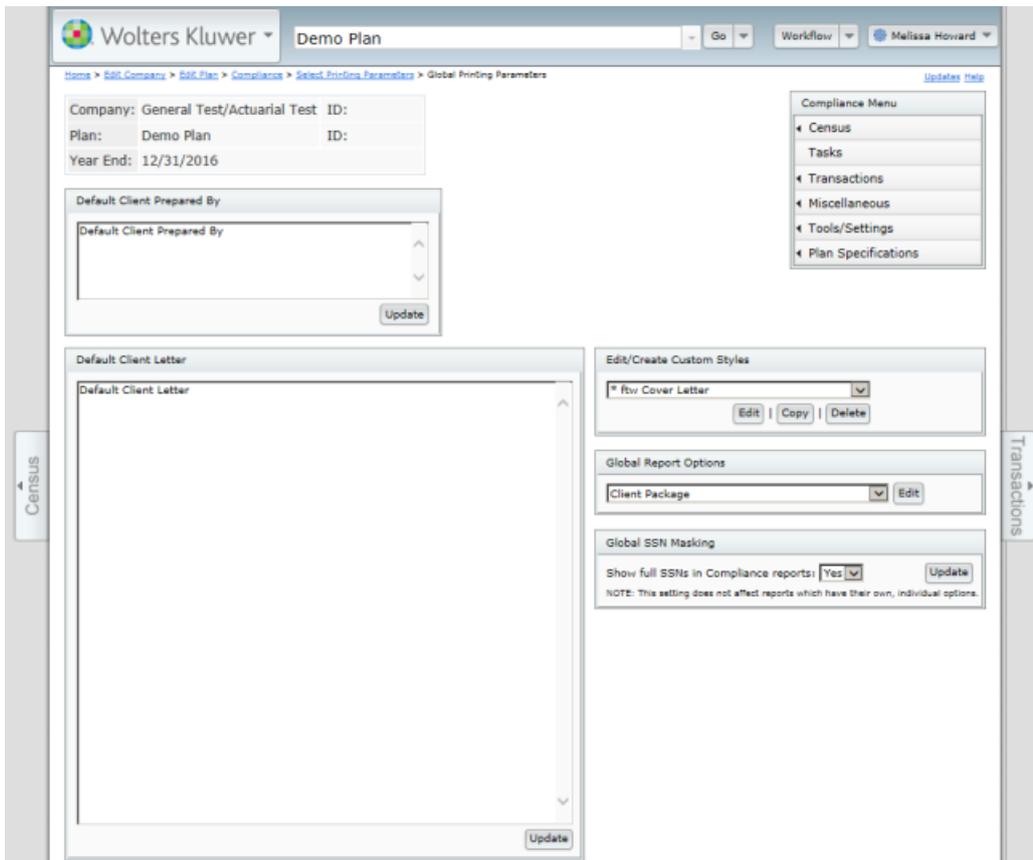
## 9.3. Print Settings

From the Compliance Menu, hover over “Tools/Settings” à “Print Setting”, then press either “Plan Level” or “Global”. The “Global” settings can also be accessed from the top of the “Select Printing Parameters” page by clicking on the link “Global Printing Parameters”.



### 9.3.1. Global

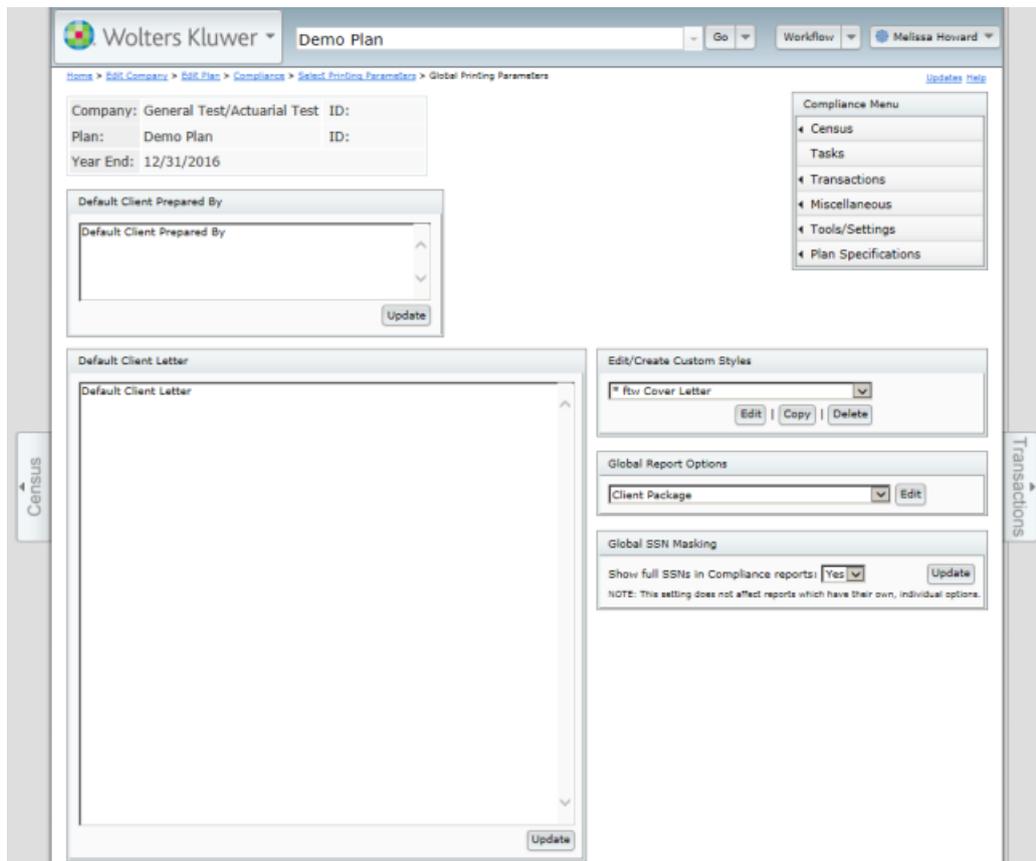
You can design your own styles and save them as options for future selection for individual plans, modify the default client letter and add custom language in global settings.



### Set Default Client Letter

Click on the “Global Printing Parameters” link on the “Select Printing Parameters” screen (or from “Tools/Settings” in the Compliance Menu, clicking the “Global” option under “Print Setting”). Here text for a default global letter can

be added and will be available for use with all your clients. Type or paste the text for the letter in the lower block of the “Default Client Letter” section, then click “Update”. This letter can be the default for all of your clients so you will just need to customize it for the particular client and package you are sending.



## Edit/Create Custom Styles

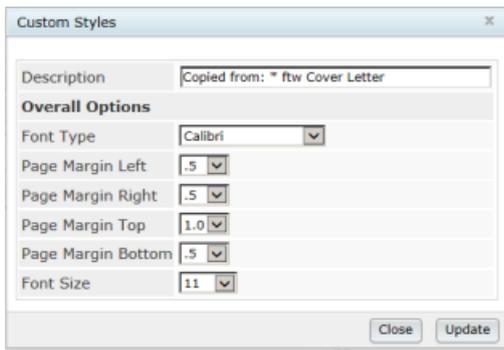
Click on “Global Printing Parameters” at the top of the “Set Printing Parameters” page or select the “Global” print setting option from the Compliance Menu under “Tools/Settings”. The first box on the “Global Printing Parameters” screen is where you can edit/design one or more custom styles for your client letter and reports. The style options include using one of the default styles already set up, or adding your own custom style. You’ll see the following options in the drop-down box on this screen:

- \*ftw Cover Letter
- \*ftw Plain
- \*ftw Intermediate
- \*ftw Elaborate

To create your own custom client letter style, select “\*ftw Cover Letter” in the drop-down box on the “Edit/Create Custom Styles” box and click “Copy”.

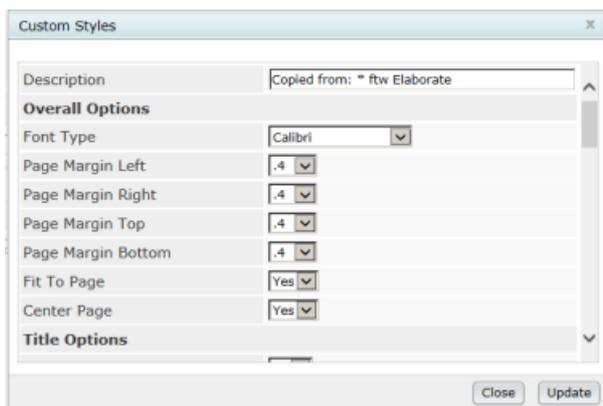
## Custom Cover Letter Styles

You will see the “Custom Styles” screen shown below. You should edit the description field to indicate who owns it (e.g. call it “John’s Cover Letter”), then you can change the font type, margins and font size to reflect your own preferences. After you click “Return” this new style will be available to select for all your client letters. Please note that you cannot edit a default style; you need to copy it and then you can edit the copy.



## Custom Report Styles

You can also set a default style for your reports and statements from the same screen as the default letter style (the “Edit/Create Custom Styles” page). There are three default styles set up already - “\*ftw Plain”, “\*ftw Intermediate” and “\*ftw Elaborate”. Again these are not editable but you can either use one of them as is, or you can copy and edit one or more of them to create your own custom styles. To do this, select one of the three default styles from the drop-down box and select “Copy This Style”. You can change the description to reflect who created it and what style it was copied from. You can also select the font type, color and size for the different sections of the reports as well as margin width. To the right is the top of the screen that you’ll see when you select a style and elect to copy (or, if it has already been copied, edit it):



## Custom Report Styles - Statement Options

As well as selecting a print style for your statements as described above, you can include plan specific messages on the statements and also display the investment related [notice language](#) required by the 2006 Pension Protection Act (PPA) for certain plans. Plans are required to provide the statement if the plan is an individual account plan (other than a one-participant plan) and allows participants/beneficiaries to direct the investment of assets in his or her account under the plan.

You may now use the Custom PPA Message /Message 3 when Include Default PPA Information is "No". This is valuable when PPA is not needed and you have a larger communication to be included in the statements.

See the screen shot below - this is the statement section of the “Edit Print Styles” screen and is available for both statement formats, the Individual Participant Statement and the Custom Participant Statement.

There's more information about the difference between the two formats below.

The text you enter in the "Message 1" box shown above will be printed at the top right of the first page of the statement. Please note that the "Message 2" box is only available for the Custom Participant Statement (hence the note about limited availability) and prints in the section "Your Account at a Glance".

You can select whether or not to add the PPA investment language by setting "Include PPA Information" to "Yes". If you opt to include it, the text that will be printed on the statements is as follows:

"To help achieve long-term retirement security, you should give careful consideration to the benefits of a well-balanced and diversified investment portfolio. Spreading your assets among different types of investments can help you achieve a favorable rate of return, while minimizing your overall risk of losing money. This is because market or other economic conditions that cause one category of assets, or one particular security, to perform very well often cause another asset category, or another particular security, to perform poorly. If you invest more than 20% of your retirement savings in any one company or industry, your savings may not be properly diversified. Although diversification is not a guarantee against loss, it is an effective strategy to help you manage investment risk.

In deciding how to invest your retirement savings, you should take into account all of your assets, including any retirement savings outside of the Plan. No single approach is right for everyone because, among other factors, individuals have different financial goals, different time horizons for meeting their goals, and different tolerances for risk.

It is also important to periodically review your investment portfolio, your investment objectives, and the investment options under the Plan to help ensure that your retirement savings will meet your retirement goals.

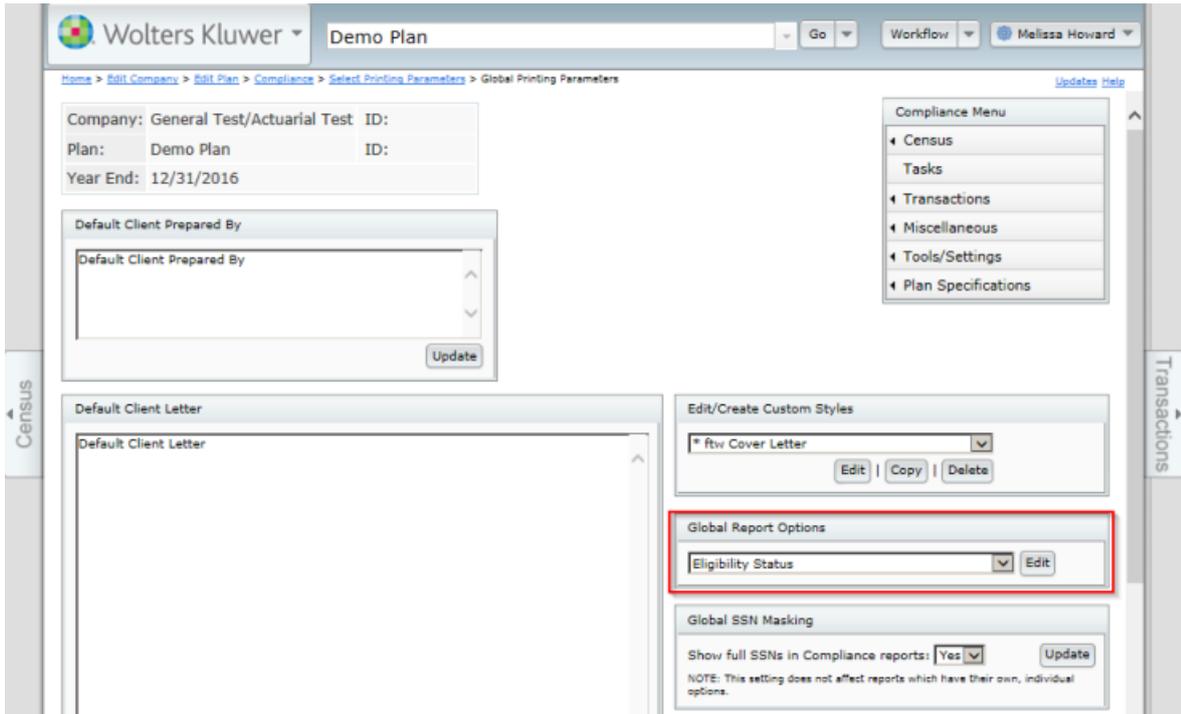
Department of Labor information. For more information regarding individual investing and diversification, see the internet website of the U.S. Department of Labor at: [www.dol.gov/ebsa/investing.html](http://www.dol.gov/ebsa/investing.html)

There is also an option to add your own custom PPA related message, which will appear above the standard PPA language on the statement. You enter this in the "Custom PPA Information" box.

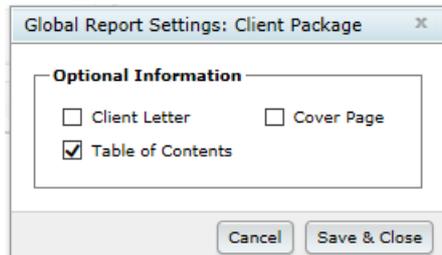
## Global Report Options

From within Global Printing Parameters, users can customize a variety of options for each of the available reports. The ability to customize reports is located under the "Global Report Options" box. To select a report to edit, press the drop down arrow next to the edit button, select the applicable report and press the edit button. Checking the box next to an option will include the option in the specific report for all plans. Leaving a box blank (or removing the check mark from the box) will exclude the option for that specific report for all plans. When done making

selections, press "Save & Close". Below will describe the individual reports and options available for those reports.



The Client Package has the option to individually include or exclude the Client Letter, Cover Page or Table of Contents. This means that the options selected here will be the options seen when the Client Package is printed for every plan.



Eligibility Status Report can be sorted by name, status, compensation, or hours, in either ascending or descending order. Additionally, certain information can be included or excluded from the Eligibility Status Report. This information includes, participant SSNs (masked or full), compensation, deferrals, Roth, and the columns that display whether initial or continuing eligibility has been overridden. Dollar signs can also be included or excluded from the report. The options selected here will display or not be displayed in the Eligibility Status Report for every plan.

**Global Report Settings: Eligibility Status**

**Sorting**

Field:

Order:  Ascending /  Descending

**Optional Information**

SSN (apply mask )  Compensation

Deferrals  Roth

Show Dollar Sign

**Optional Columns**

Initial Override  Continuing Override

Cancel Save & Close

Allocation Report can be sorted by name or status, in either ascending or descending order. Additionally, certain information can be included or excluded from the Allocation Report. This information includes, participant SSNs (masked or full), division and status. Dollar signs can also be included or excluded from the report. The options selected here will display or not be displayed in the Allocation Report for every plan.

**Global Report Settings: Allocation Report**

**Sorting**

Field:

Order:  Ascending /  Descending

**Optional Information**

Show Dollar Sign

**Optional Columns**

SSN (apply mask )  Division

Status

Cancel Save & Close

Transaction Reports and Statements can also be customized. Every transaction report/statement option that can be edited has its own global report setting. This means that different options can be selected for different statements/reports. Below, for example, are the options available for "Statements - Custom Individual Participant". The options here can be set differently than those set for "Statements - Individual Participant" or other statement options. Options available for statements include sorting by name and status, including or excluding employee SSNs or employee number (as defined in Plan Specifications --> General Features), dollar signs and fees. Including fees will carve out the fees from the earnings or gain/loss column and display them in a separate fees column.

The dialog box is titled "Global Report Settings: Statements - Custom Individual Participant". It contains three sections:
 

- Sorting:** Field: Status (dropdown), Order:  Ascending /  Descending
- Optional Information:**  EE# / SSN (apply mask )  Show Dollar Sign
- Optional Columns:**  Fees

 At the bottom are "Cancel" and "Save & Close" buttons.

The ADP/ACP Test Detail Report can be sorted by name (alphabetically), compensation or status. Users can choose to have dollar signs appear and to include or exclude employee SSN (masked or full) or employee number (as selected in Plan Specifications --> General Features), division and status columns.

The dialog box is titled "Global Report Settings: ADP ACP Test". It contains three sections:
 

- Sorting:** Field: Compensation (dropdown), Order:  Ascending /  Descending
- Optional Information:**  Show Dollar Sign
- Optional Columns:**  EE# / SSN (apply mask )  Division  Status

 At the bottom are "Cancel" and "Save & Close" buttons.

The ADP/ACP Test Corrections Report can be sorted by name (alphabetically), compensation or status. Users can choose to have dollar signs appear and to include or exclude employee SSN (masked or full) or employee number (as selected in Plan Specifications --> General Features), 402(g) catchup and status columns.

The dialog box is titled "Global Report Settings: ADP ACP Corrections". It contains three sections:
 

- Sorting:** Field: Compensation (dropdown), Order:  Ascending /  Descending
- Optional Information:**  Show Dollar Sign
- Optional Columns:**  EE# / SSN (apply mask )  Status  402g Catchup

 At the bottom are "Cancel" and "Save & Close" buttons.

The Estimated QNEC report can be sorted by name (alphabetically), compensation or status. Users can choose to

have dollar signs appear and to include or exclude employee SSN (masked or full) or employee number (as selected in Plan Specifications --> General Features), division and status columns.

### 9.3.2. Plan Level

In the "Select Printing Parameters" screen are options to add a default cover letter, select a printing style and orientation for this cover letter and each of the reports.

Report	Style	Orientation
Eligibility Status	Formerly Default Intermediate	Portrait
HCE Key Determination	Formerly Default Intermediate	Portrait
Key Determination for Next Year	Formerly Default Intermediate	Portrait
Allocation Report	Formerly Default Intermediate	Portrait
Summary of Test Results	Formerly Default Plain	Portrait
Annual Additions Report	Formerly Default Intermediate	Portrait
410(b) Test	Formerly Default Intermediate	Portrait
Deduction Test	Formerly Default Intermediate	Portrait
Compensation Test	Formerly Default Intermediate	Portrait
ACP Test	Formerly Default Intermediate	Portrait

Having designed custom styles for the client letter and reports, the next step is to select a style or styles to use and their orientation. The custom styles previously created will display as options in the drop-down box within the "Select Printing Parameters" screen. On this screen you can select a print style for your client letter, and for each of your reports and statements. You can either select one style for all reports and statements or you can select the styles individually for each report and each statement type. See the screen shot below - the box in the middle allows you to select a single style for all reports and statements whereas the box below is where you make the individual selections for reports. A further option is the orientation for the report - whether you prefer Portrait or Landscape

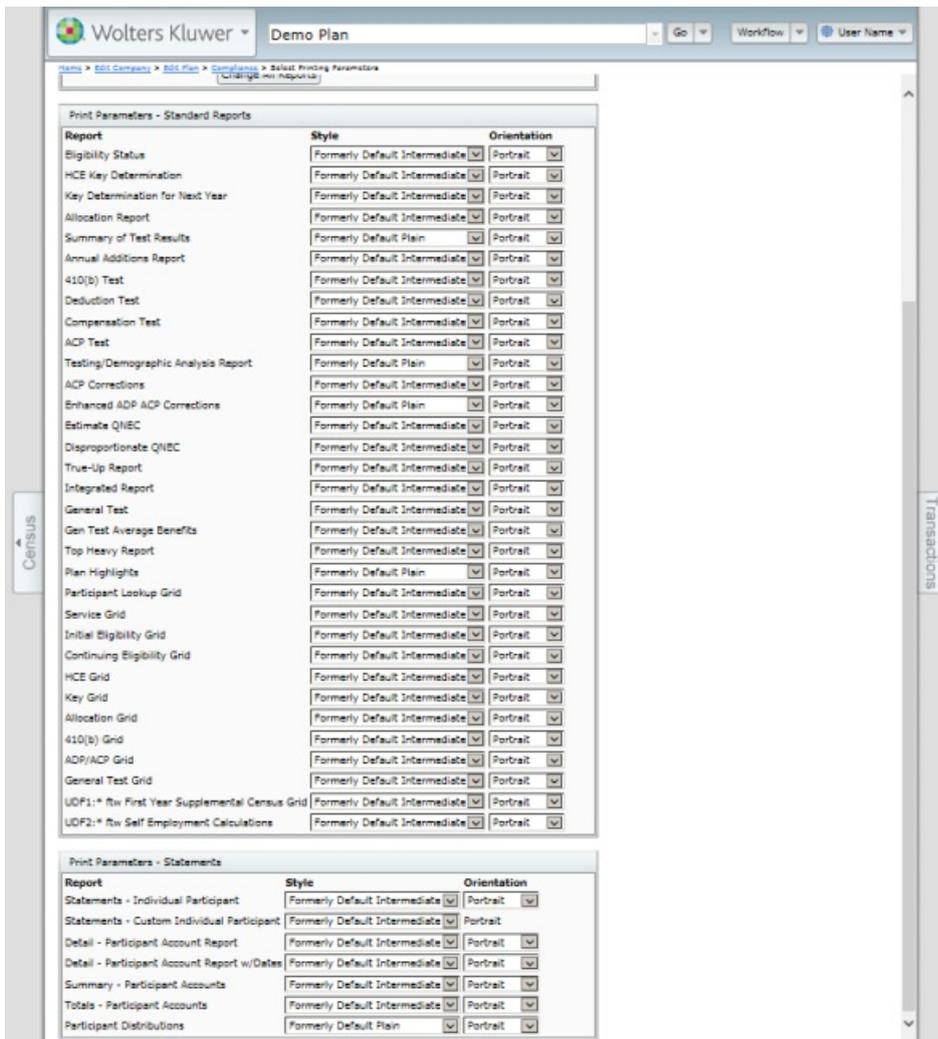
The screenshot displays the 'Demo Plan' interface in Wolters Kluwer. At the top, there is a navigation bar with 'Wolters Kluwer', 'Demo Plan', and user information. Below this, a breadcrumb trail reads 'Home > Edit Company > Edit Plan > Compliance > Select Printing Parameters'. The main content area is divided into several sections:

- Company Information:** Test Company ID, Demo Plan ID, and Year End: 12/31/2013.
- Global Printing Parameters:**
  - Cover Letter:** Style: 'ftw Cover Letter', Orientation: 'Portrait'.
  - Default Print Parameters:** Set Defaults for All reports. Style: 'ftw Elaborate', Orientation: 'Portrait'. Includes a 'Change All Reports' button.
  - Print Parameters - Standard Reports:** A table with columns for Report, Style, and Orientation.
- Compliance Menu:** A sidebar menu on the right with options: Census, Tasks, Transactions, Miscellaneous, Tools/Settings, and Plan Specifications.

Report	Style	Orientation
Eligibility Status	Formerly Default Intermediate	Portrait
HCE Key Determination	Formerly Default Intermediate	Portrait
Key Determination for Next Year	Formerly Default Intermediate	Portrait
Allocation Report	Formerly Default Intermediate	Portrait
Summary of Test Results	Formerly Default Plain	Portrait
Annual Additions Report	Formerly Default Intermediate	Portrait
410(b) Test	Formerly Default Intermediate	Portrait
Deduction Test	Formerly Default Intermediate	Portrait
Compensation Test	Formerly Default Intermediate	Portrait
ACP Test	Formerly Default Intermediate	Portrait

See the screen shot below - this is the statement section of the “Edit Print Styles” screen and is available for both statement formats.

If you opt to make individual style selections for statements, you do this directly below where you select report styles.



### 9.3.3. Custom Reports

Certain reports in the Compliance Module are able to be customized, giving the ability to add, move and remove columns; change table column widths; change font type, size and color; filter to show only certain data; and change sort order. These changes can then be saved and used for all of your plans.

### Accessing Custom Reports

Custom reports are located throughout the software. Below is a list of current reports and where they are located.

Report Name	Location
402(g) Limit Test	Scrub/Eligibility Reports
HCE Next Year	Scrub/Eligibility Reports
Top Heavy Minimum Allocation	Allocation Reports
Catchup and Excess	Miscellaneous Reports
RMD Notice	RMD Menu

### Editing Custom Reports

Custom reports can be edited by clicking on the custom report icon (



) that appears next to all custom reports. This opens the report in a web view, where the user can add or remove columns, change text font type, sizes or colors, rearrange column positions, filter the report to only show certain criteria or change the sort order.

Below is a screenshot of the Scrub/Eligibility Report window. There are two custom reports here; the 402(g) Limit Test and HCE Next Year. Both of these reports have the custom report icon (



), which will access the web view of the applicable report.

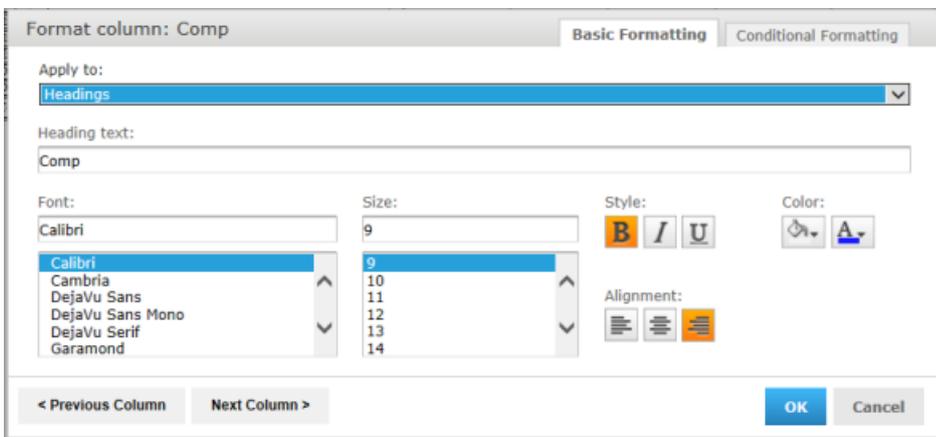


Clicking on a column within the web view will make the formatting options appear for that column. The left most icon has three options: Formatting, Hide column, and Show columns.

Demo Plan  
402(g) Report - Detail  
12/31/2016

SSN	Status	Comp	401(k)	Roth	Total Deferrals	402(g) Catchup	402(g) Excess
	Active	\$50,000.00	\$1,000.00	\$0.00	\$1,000.00	\$0.00	\$0.00
	Active	\$50,000.00	\$4,000.00	\$0.00	\$4,000.00	\$0.00	\$0.00
	Active	\$50,000.00	\$4,000.00	\$0.00	\$4,000.00	\$0.00	\$0.00
Employee, EE4	Active	\$50,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Employee, EE5	Active	\$31,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Employee, EE6	Active	\$35,000.00	\$1,000.00	\$0.00	\$1,000.00	\$0.00	\$0.00
Employee, EE7	Active	\$45,000.00	\$3,000.00	\$0.00	\$3,000.00	\$0.00	\$0.00
Employee, EE8	Active	\$25,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Owner, EEO1	Active	\$285,000.00	\$24,000.00	\$0.00	\$24,000.00	\$4,000.00	\$0.00
Owner, EEO2	Active	\$285,000.00	\$18,000.00	\$0.00	\$18,000.00	\$0.00	\$0.00
Totals		\$866,000.00	\$57,000.00	\$0.00	\$57,000.00	\$4,000.00	\$0.00

Clicking on the formatting option will open a new window with all of the font style, color and sizing options. Alignment options and conditional formatting options are also here. Note that changes will apply to the headings, detail rows or total rows as selected from within the window.



Clicking the option to hide a column will hide the column that you clicked on.

Hovering over the option to "Show columns" will expand the list of columns that are available to be added. You can

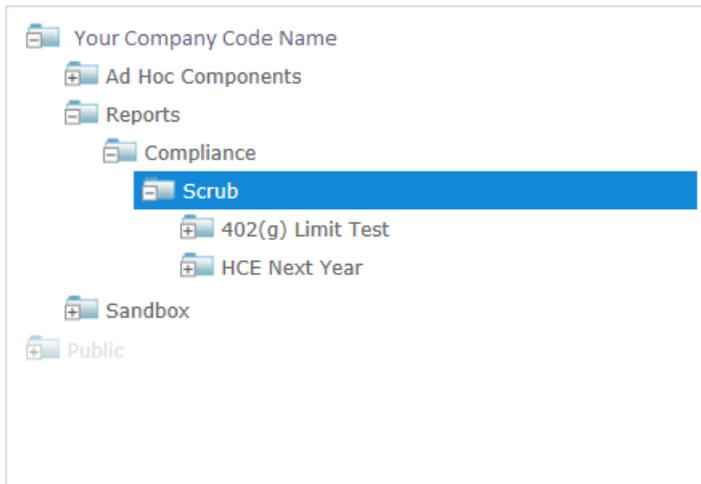
select the option to add all available columns, or select one at a time.

## Saving Custom Reports

After editing a custom report, you can save the report by clicking the save icon (



) in the upper left corner of the web view. You will save your reports in the folder tree under your company name by selecting the "save as" option. Note: See [Permissions](#) for additional information regarding who is permitted to save reports.

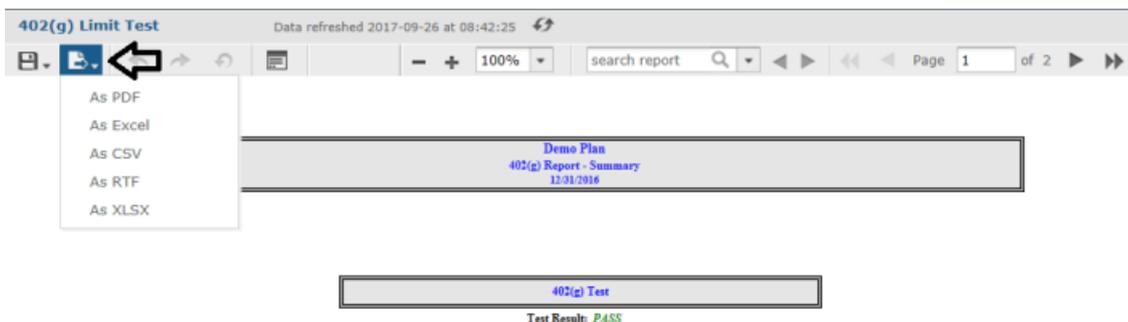


## Printing a Custom Report

There are multiple print format options available for each custom report, such as rtf, pdf and excel. Simply click on the applicable icon next to the custom report to print the format of your choosing.

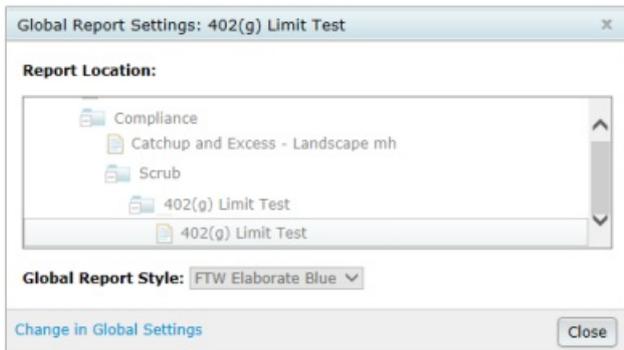
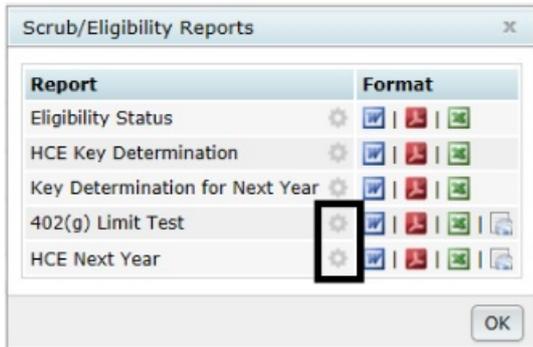


Custom reports can also be printed directly from the web view by clicking the export button in the upper left corner, then selecting the applicable format.



## Global Custom Report Styles & Custom Report Selection

To view the current global report style and selected report for a custom report, click the gear icon next to the custom report. This will allow you to see the options selected for that report. Note that the Global Report Style that is selected applies to all custom reports.



To change these settings, Designated Admin users may either click the "Change in Global Settings" link or navigate to the [Global Report Options](#) from the Compliance Menu.

Print styles that are selected within the web view, will apply for reports printed from the web view only. To specify a specific print style for a report to use in the client package or individual print, the style must be selected from the [Global Report Options](#).

## Custom Reports Permissions

Custom Reports permissions determine whether or not a user can save a custom report and, if permitted to save, the location where they are permitted to save reports. The "Permissions" box in the Edit Users screen has a drop down next to "Custom Reports", containing options of Admin, Intermediate and Read Only.

When in the Custom Reports web view:

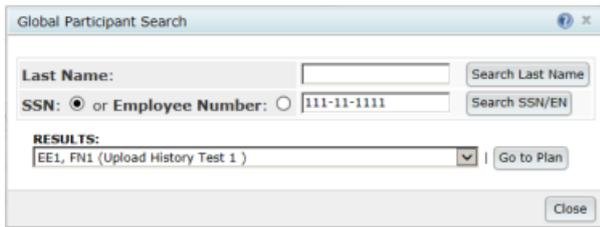
- Users with “Admin” selected for Custom Reports are allowed to save reports in any repository folder.
- Users with “Intermediate” selected for Custom Reports are allowed to save reports in the Sandbox folder only.
- Users with “Read Only” selected for Custom Reports are not allowed to save reports in any repository folder.

Note: Any user with “Yes” selected for Designated Admin, receives “Admin” permissions for Custom Reports by default. All other users receive “Read Only” by default. Changes to these permissions would need to be made by a Designated Admin in this screen.

## 9.4. Global Participant Search

Click “Global Participant Search” from the Compliance Menu under “Tools/Settings”.

The Global Participant Search enables a user to search for a participant across all companies and plans within a user’s company code. Then, with the click of a button the user can be directed to the plan in which the participant belongs.



### Search Options

Inside Global Participant Search, the user has three search options: last name, social security number or employee number. If searching by social security number or employee number the participant(s) who exactly match the number entered will be listed in a drop-down box. That is, no partial searches are done for those two options. If you search by last name, however, you can type in the entire last name or just part of and the search results will contain all participants matching your entry.

Note: If the total participant count from all companies and plans combined is less than 100, only the drop down box will appear. That is, there are no search options.

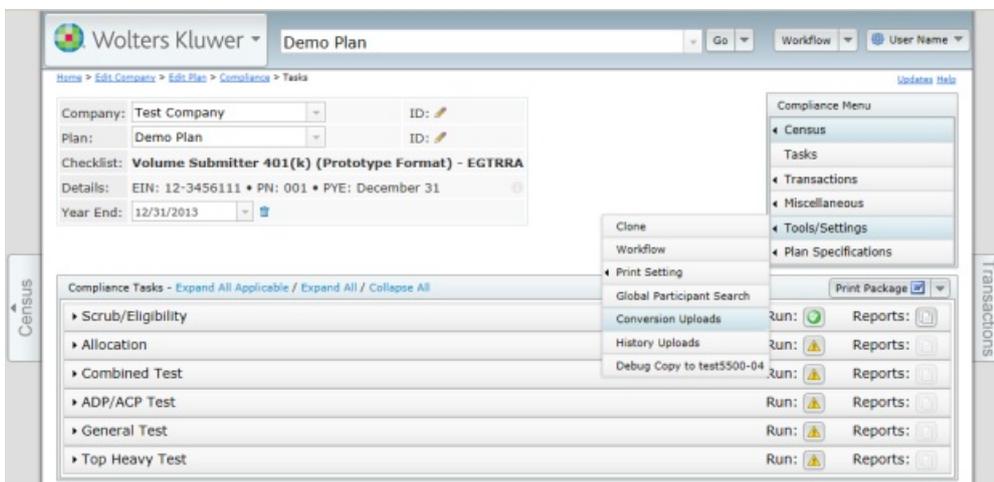
### Selecting a participant/plan

Once you have entered your search criteria and pressed the search button, all participants matching that criteria will be listed in the “Results” drop-down box. Click on the drop-down box to review the list of participants. The plan that each participant is associated with is shown in parenthesis next to the participant name. To go to that plan, select the participant and click “Go to Plan”.

Note: If divisions are used and a participant is located in a plan the user does not have accessibility rights to, the user will be able to see that a participant is in that plan but will not be able to access the plan.

## 9.5. Conversion Uploads

Conversion Uploads are accessed from the Compliance Menu, under “Tools/Settings”.



The options “Map DC Sources” and “DC Windows” are for upload of Dataair participant information and end of year balances. You first need to click “Map DC Sources” and enter the two digit codes for each Dataair source according

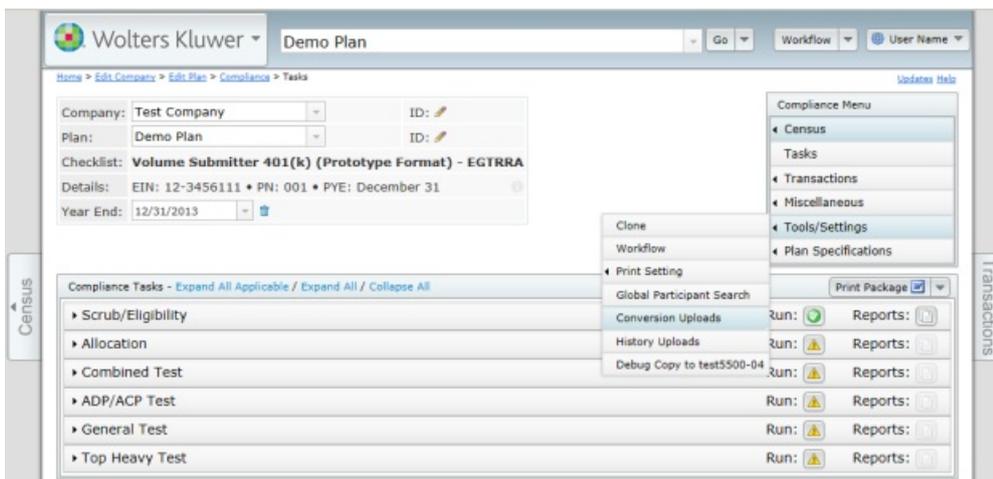
to the appropriate ftwilliam source, indication where it should be mapped. Once you have done that you can click on “DC Windows” and upload your Dataair file.

The options “Create DER Template” and “Upload DER” are for importing data from Relius. You will first need to click “Create DER Template”; this will open a Microsoft Excel spreadsheet formatted for entering data from the Relius system. You can then download your data and enter it into the spreadsheet and save the spreadsheet as a .csv file. Next you would upload it using the “Upload DER” link.

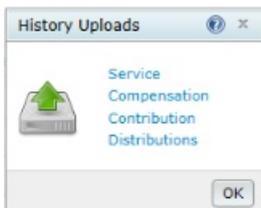


## 9.6. History Uploads

History Uploads are located under “Tools/Settings” from within the Compliance Menu.



The History Upload options give users the ability to upload service, compensation, contribution and distribution records from the inception of the plan to the current plan year. If you will be uploading the history records in the first year the plan is in the ftwilliam Admin, you will need to continue to use your conversion grid or a supplemental grid to upload the cumulative years of service fields. Please note if the plan has multiple years in the ftwilliam system you may upload the history records in the current year, remembering to include in the history file the data for any prior years in the system.



### Service History Upload

Click on the ‘Service’ link to access the ‘Service History Upload Menu’, where you may select a file to upload the service history for all plan years up to the current plan year. There are four types of service history that can be

uploaded here:

- A - Hire/Terminate
- E - Eligibility Service
- V - Vesting Service
- B - Benefit (participation) Service

**Service History Upload Menu**

**CAUTION:** All Years history on or before this date will be deleted. Must enter a year prior to current year. First row of file will be skipped.

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

Upload file name:

Latest year in file 12/31/

A sample service history file can be downloaded to show the user how the data must be uploaded.

	A	B	C	D	E	F
1	Part ID	Date	Service Type	Status	Hours	Yrs Service
2	000-00-0128	7/1/2008	A	Hire		
3	000-00-0128	12/31/2008	E	ALL	1400	1
4	000-00-0128	12/31/2008	V	ALL	1400	1
5	000-00-0128	12/31/2008	B	ALL	1400	1
6	000-00-0128	10/30/2009	A	Terminate		
7	000-00-0128	12/31/2009	E	ALL	1400	1
8	000-00-0128	12/31/2009	V	ALL	900	0
9	000-00-0128	12/31/2009	B	ALL	1400	1

## To enter a hire/terminate record:

- Column A – Enter participant’s social security number
- Column B – Enter the date of hire or termination (in mm/dd/yyyy format)
- Column C – Enter ‘A’
- Column D – Enter ‘Hire’ or ‘Terminate’ as applicable
- Columns E and F – Leave Blank

## To enter a eligibility/vesting/benefit history record:

- Column A – Enter participant’s social security number
- Column B – Enter the date (in mm/dd/yyyy format) of the applicable plan year end
- Column C – Enter ‘E’, ‘V’, or ‘B’
- Column D – Enter ‘All’ for all sources; ‘ED’ for elective deferral source; ‘MT’ for match source; and ‘NE’ for non-elective source.
- Column E – Enter the hours earned during the applicable year.
- Column F – Enter the years of service earned during the applicable year.

So in the above example, participant 000-00-0128 was hired on 7/1/08. In 2008 she had 1400 hours and one year of service of service for eligibility, vesting and participation. She terminated on 10/30/09; in 2009 she had 1400 hours and one year of service of service for eligibility and participation, and 900 hours for vesting with no service.

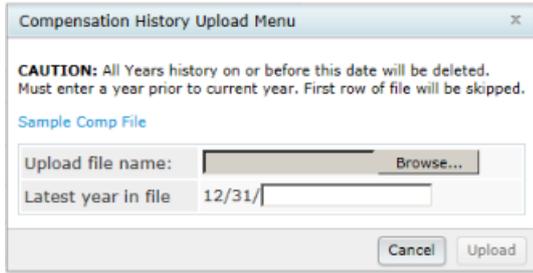
Note: The history for multiple years should be uploaded in one history file. All history in year or prior to the year entered will be deleted.

The service history will be updated with current year data when the Do Data Scrub task is done.

There is also a link to an ‘Explanation of Service Upload Codes’ for additional help.

## Compensation History Upload

Click on the 'Compensation' link to access the 'Compensation History Upload Menu', where the user may select a file to upload the compensation history for all plan years up to the current plan year.



The screenshot shows a dialog box titled "Compensation History Upload Menu". It contains a caution message: "CAUTION: All Years history on or before this date will be deleted. Must enter a year prior to current year. First row of file will be skipped." Below this is a link for "Sample Comp File". There are two input fields: "Upload file name:" with a "Browse..." button, and "Latest year in file" with a date picker showing "12/31/". At the bottom are "Cancel" and "Upload" buttons.

## To enter a compensation record:

- Column A – Enter participant's social security number
- Column B – Enter the date (in mm/dd/yyyy format) of the plan year end
- Column C – Enter gross compensation for the participant

Note: The history for multiple years should be uploaded in one history file. All history in year or prior to the year entered will be deleted.

The compensation history will be updated with current year data when the Do Data Scrub task is done.



	A	B	C
1	Part ID	YearEnd	Gross Comp
2	000-00-0128	12/31/2009	100000
3	999-00-0127	12/31/2009	95000
4	000-00-0133	12/31/2009	90000
5	000-00-0132	12/31/2009	85000
6	000-00-0115	12/31/2009	80000
7	000-00-0128	12/31/2008	75000
8	999-00-0127	12/31/2008	70000
9	000-00-0133	12/31/2008	65000
10	000-00-0132	12/31/2008	60000
11	000-00-0115	12/31/2008	55000
12	000-00-0128	12/31/2007	50000
13	999-00-0127	12/31/2007	45000
14	000-00-0133	12/31/2007	40000
15	000-00-0132	12/31/2007	35000
16	000-00-0115	12/31/2007	30000

## Contributions History Upload

Click on the 'Contributions' link to access the 'Contributions History Upload Menu', where the user may select a file to upload the contributions history for all plan years up to the current plan year.

**Contribution History Upload Menu**

**CAUTION:** All Years history on or before this date will be deleted. Must enter a year prior to current year. First row of file will be skipped.

[Sample Contrib File](#)

**SourceID: Description**  
 401K: Elective Deferrals  
 ROTH: Roth Elective Deferrals  
 AFTERTAX: After Tax Contributions  
 MATCH: Matching Contribution  
 QMAC: Qualified Matching Contribution  
 QNEC: Qualified Nonelective Contribution  
 PS: Profit Sharing Contribution

Upload file name:

Latest year in file 12/31/

## To enter a contribution record:

- Column A – Enter participant’s social security number
- Column B – Enter the date (in mm/dd/yyyy format) of the
- Column C – Enter applicable contribution amount for the participant
- Column D – Enter the applicable SourceID (as shown in the Contributions History Upload Menu)

Note: The history for multiple years should be uploaded in one history file. All history in year or prior to the year entered will be deleted.

The Contribution history will be updated with current year contributions when the contribution transactions are posted and the user “Prints” any report in the Transaction Menu with the Statement Dates of the first and last day of plan year.

	A	B	C	D
1	Part ID	YearEnd	Amount	SourceID
2	000-00-0128	12/31/2008	9000	401K
3	000-00-0128	12/31/2009	8500	401K
4	000-00-0132	12/31/2008	8000	401K
5	000-00-0132	12/31/2009	7500	401K
6	000-00-0133	12/31/2008	7000	401K
7	000-00-0133	12/31/2009	6500	401K
8	000-00-0127	12/31/2008	6000	401K
9	000-00-0127	12/31/2009	5500	401K

## Distributions History Upload

Click on the ‘Distribution’ link to access the ‘Distribution History Upload Menu’, where the user may select a file to upload the distribution history for all plan years up to the current plan year.

**Distribution History Upload Menu**

**CAUTION:** All Years history on or before this date will be deleted. Must enter a year prior to current year. First row of file will be skipped.

[Sample Dist File](#)

**SourceID: Description**  
 401K: Elective Deferrals  
 ROTH: Roth Elective Deferrals  
 AFTERTAX: After Tax Contributions  
 MATCH: Matching Contribution  
 QMAC: Qualified Matching Contribution  
 QNEC: Qualified Nonelective Contribution  
 PS: Profit Sharing Contribution

Upload file name:

Latest year in file 12/31/

## To enter a distribution record:

- Column A – Enter participant’s social security number
- Column B – Enter the date (in mm/dd/yyyy format) of the
- Column C – Enter applicable contribution amount for the participant
- Column D – Enter the applicable SourceID (as shown in the Contributions History Upload Menu)

Note: The history for multiple years should be uploaded in one history file. All history in year or prior to the year entered will be deleted.

The Distribution history will be updated with current year distributions when the distribution transactions are posted and the user “Prints” any report in the Transaction Menu with the Statement Dates of the first and last day of plan year.

	A	B	C	D
1	Part ID	YearEnd	Amount	SourceID
2	000-00-0128	12/31/2008	-9000	401K
3	000-00-0128	12/31/2008	-8000	MATCH
4	000-00-0128	12/31/2008	-7000	PS
5	000-00-0128	12/31/2009	-9000	401K
6	000-00-0128	12/31/2009	-8000	MATCH
7	000-00-0128	12/31/2009	-7000	PS
8	000-00-0132	12/31/2008	-9000	401K
9	000-00-0132	12/31/2008	-8000	MATCH
10	000-00-0132	12/31/2008	-7000	PS