5.5. Other Import/Export/Reports

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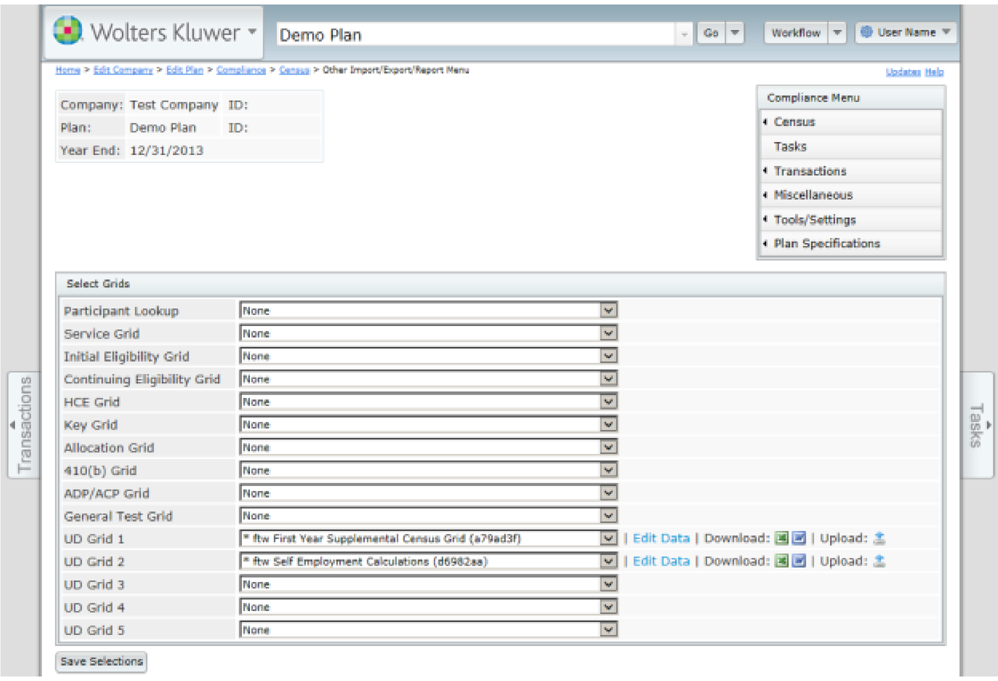
Other Import/Export/Reports can be accessed from the Compliance Menu by hovering over Census and selecting Other Import/Export/Reports or from within the Census screen, by clicking the Other Import/Export/Report link.

Click here for more information on adding historical data

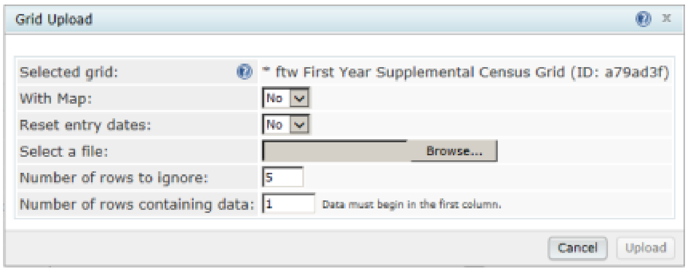


Most plans will need other information entered into the system beyond the census data, at least in the first plan year. For example, if you are running the Top Heavy test you will need to add information about prior year in-service distributions using a supplemental grid in the Other Import/Export/Reports menu. There are several * ftw grids that we suggest you use to view or edit supplemental data. You can import or directly enter data that does not appear in your census. In general you should first upload a census for the plan year, then enter other information under the Other Import/Export/Reports menu and then do a census data scrub.

Note that "Upload" will not be an option if the selected grid does not have SSN or employee ID information and you will instead see "N/A - no SSN" where "Upload" would normally appear. If you have a data grid that you would like to use for upload and need to add a SSN or employee ID field, you can edit the grid in the Work With Data Entry Grids menu.

If you wish to add additional historical data to your census, a useful grid to add for a first year plan is “Sample Census Supplemental with Disagg No OR” – this grid is generally added from the “UD Grid 1” drop-down box; it allows you to enter supplemental data for prior years of service and in-service distribution amounts for Top Heavy testing. There are two options to upload data into the system (see Mapping for more info on mapping):

- Upload No Map: Data uploaded will not be mapped. The system will only use the data fields uploaded.
- Upload with Map: The system will use the data fields uploaded and will do any mapping as set up under the Mapping options for the census grid selected.



Data Review / Data Export

You can export/download information in any selected grid to an Excel file or simply review the data in a grid online.

For example, after doing a census scrub, the system will determine whether an employee is a key employee. You may wish to view more information about a particular employee to better understand why they were determined to be / not be a key employee than is provided in the standard Census Data Scrub HCE/KEY Status report. All of the fields that are relevant to a key determination are provided in the default "Key Data" grid. By entering the Other Import/Export/Report Menu after a census scrub and selecting the "Key Data" grid, you can see whether an indicator used for the key determination was correctly entered (for example, family status may not have been entered correctly and this information does not appear on the Census Data Scrub HCE/KEY Status report but does appear in the Other Import/Export/Report Menu "Key Data" grid).

User-Defined Reports

You can add a grid to create and print custom reports to a Word document or Excel file. Firstly you would need to set up a grid in the Work with Data Entry Grids menu so that it has the information you want reported in the order you would like it to appear. You can then print the report from the Other Import/Export/Reports Menu.

Several sample grids are supplied with the Compliance software. All grids can be customized under the Work with Data Entry Grids menu. All grids for your company code’s log-in (and division, if applicable) will be available in this menu. Before you can work with a particular grid, you will have to select the grid from the drop-down box and click on "select grids". This allows you to set up variations of the allocation grid, for example, that you can select for different plans.

NOTE: We strongly suggest that you make a copy of any sample grid you wish to change (select the grid, click "Copy This Data Entry Template" and give the new grid a custom name).

Appendix I contains suggestions for supplemental grids that are available for extracting additional data on the Other Import/Exports/Reports menu.

Participant data

This link will open the "Participant Menu" window with the following additional options described in more detail below (each will open a window with a check-list of fields and their corresponding values).

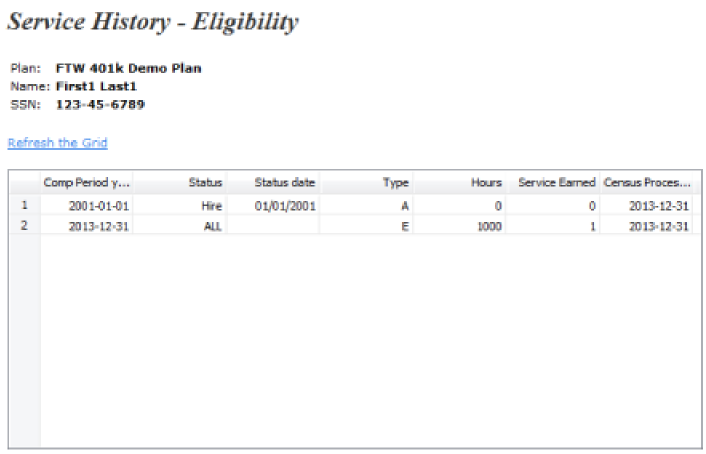
- Master File: Address, entry dates for contributions and overrides, and vesting years of service (YOS).
- General Status: Hire and termination date(s), employee class and status, ownership, key/HCE determinations, in-service distributions for past 4 years
- Eligibility: Years of service for contributions, catch-up eligibility
- Compensation: Shows compensation for contribution types and other purposes
- Contribution: Contribution amounts for all types of contributions, excess elective deferrals
- Other: Actual deferral and contribution rates, ADP/ACP failure data

The Participant Menu also has options to "Print Master File Data" or "Print all Participant Data" to a Word document (printing all Participant data will create a checklist-like Word file with all the participant data for a participant - typically creates a 7-page Word document in a check-list format).

Eligibility / Vesting / Benefit History

These three grids all work in a similar manner. The grid shows the years of service and hours of service earned for each computation period year in the system as well as status change dates. The following example will illustrate how these grids operate:

A sample Eligibility history link is shown below for the 2013 testing year. The first field shown is the "Comp Period year End" which shows the computation period year end for which the status was calculated. This person was hired 1/1/2001 and for the computation period ending 12/31/2013, he completed one year of service.


Service History - Eligibility

Plan: **FTW 401k Demo Plan**
Name: **First1 Last1**
SSN: **123-45-6789**

Refresh the Grid

	Comp Period y...	Status	Status date	Type	Hours	Service Earned	Census Proces...
1	2001-01-01	Hire	01/01/2001	A	0	0	2013-12-31
2	2013-12-31	ALL		E	1000	1	2013-12-31

The next three columns taken together show the status, status date and type of record shown. The field "Type" indicates the type of status. There are two main categories of status types:

- A: General status change with a status of hire or term. "A" status types will not have corresponding hours of service.
- E, V or B: "E" = eligibility; "V" = vesting; and "B" = Benefit. These status types will have corresponding Statuses to indicate what type of contribution they pertain to ("ED" - elective deferrals, "MT" - Matching, "NE" - nonelective, or "ALL" - all contribution types).

The hours of service is displayed, typically taken from the census grid, and the service earned will indicate the years of service earned for the computation period.