Compliance Quick Start Guide

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This guide is intended to give a quick tour of how the ftwilliam.com Compliance Module works. Many features of the software are not discussed in this guide but are explained in the Compliance Module User Guide. You can access the full User Guide by clicking on the Wolters Kluwer drop-down at the top left of any screen. Select “Support” then “User Guides”. Contact support@ftwilliam.com or (800) 596-0714 with specific questions.

Here is our suggested order of tasks for the Compliance Module – for more details continue reading the QS Guide.

Screen	Task
Home	Select a plan, then select the Compliance Module
Compliance	Add a new plan year end
Plan Specifications=>Edit	Review and edit plan specifications. Set up sources, and investment accounts if applicable
Census=>Edit	Make sure the primary census grid selected is appropriate; if not change it
Census=>Download=>Current	Open the worksheet for the census; add data and save as .csv file
Census=>Upload	Upload the saved worksheet
Census=>Other Import/Export/Reports	Add the first year supplemental grid and enter any additional data required
Tasks	Expand Top Heavy Test; if appropriate, code the plan as top heavy as of determination date “Yes”
Tasks	Expand Scrub/Eligibility; review parameters, run the data scrub. Review the results screen and address any errors. Review all the scrub reports for accuracy
Tasks	Expand Allocation; review and enter parameters, run the allocation and review the reports
Tasks	Expand Combined Test; review parameters, run the test and address any failures
Tasks	If required, expand ADP/ACP Test; review parameters, run the test and address any failures
Tasks	If required, expand General Test; review parameters, run the test and address any failures
Transactions	Upload or add transaction data; post batches

Tasks	Expand Top Heavy Test; review parameters for next year, run the test
Tools/Settings=>Print Setting=>Global	Add default client letter; review/modify print styles; set global “Prepared by”
Tools/Settings=>Print Setting=>Plan Level	Review and adjust print styles
Tasks	Select reports and print client package

Additional help is available in the Compliance User Forum. You can access the forum at https://ftwilliam.zendesk.com/home. If you already have an account you can log in; if not you’ll need to click the link to create a password. Once logged in, go to “Compliance Module Users Forum - you’ll see a number of topics that you can read for help using the software. Feel free to add your own suggestions or questions.