



Payroll/Administration ABA-RF Plan Sponsor's Guide

September 1, 2014

Copyright

Copyright 2009, 2014 Voya Institutional Plan Services, LLC.

All rights reserved. No part of this work may be produced or used in any form or by any means without the express written permission of the copyright owner.

All information in this document has been included for its instructional value. While every precaution has been taken with its preparation, the copyright owner does not offer any warranties or representations, nor does it accept any liability with respect to the information contained herein.

Document Information

This document is maintained by Retirement Services Division of Voya Financial™.

Contents

Introduction	1
Overview.....	1
Initial Registration Process	2
Logging On to Payroll/Administration	7
Logging Off.....	13
Enrolling a Participant.....	14
Overview.....	14
Enrollment Data – Import Data Screen	14
Participant Enrollment Screen	15
Participant Updates.....	18
Overview.....	18
Participant Selection Screen.....	18
Participant Update Screen.....	19
Additional Data Screen	21
Contributions.....	23
Overview.....	23
Importing a Contributions File.....	23
Contribution Set-up Screen	24
Contribution Payroll Input Screen	25
Participant Updates	27
Pending/Submitted Batches.....	28
Pending Batches	28
Confirmation and Remittance Screen.....	30
Batch Submission Confirmation Screen	31
Submitted Batches	34
Loan Repayments.....	37
Overview.....	37
Importing a Loan File.....	37
Loan Repayment – Create Batch Screen	38
Loan Input Screen	39
Working with Batch Files and Templates	41
Working with Batch Files and Templates.....	41
Importing a File.....	41
File Browse Screen	42
Select Template Screen	48

New Template Screen	49
Map Column Header Screen	52
Existing Template Screen.....	53
Troubleshooting Common Issues	57
System Security	58
Summary	58
Security Design	58
Security Monitoring Controls.....	58

Introduction

Overview

Payroll/Administration is an easy-to-use remittance processing tool available through Sponsor Web. This electronic payroll interface automatically reconciles the data you provide to your recordkeeper with its recordkeeping system, giving you complete control over payroll processing accuracy.

You'll use Payroll/Administration to submit and fund payroll contributions and/or loan repayments and if applicable, enroll eligible participants, update participant demographic data. Payroll/Administration has built-in edit functionality to ensure that accurate and valid data is received.

Some functions shown may not be available depending on your plan's setup. If you have any questions, please contact your account manager.

Features

Payroll/Administration is easy to use, with clearly-labeled screens. Payroll/Administration will enable you to perform the following functions:

- Paperless (electronic) transactions.
- Send payroll contributions and loan repayments.
- Enroll new participants into the plan (if applicable).
- Update demographic data for enrolled participants or add demographic data for those participants who will enroll in the future (if applicable).
- Provide payroll funding via the Automated Clearing House (ACH).

Hints and Tips

Do not use the **BACKSPACE** key on your keyboard to navigate through the entry fields on Payroll Administration screens; it will cause you to lose all the data you have entered by returning to the previous screen without saving. Instead, use your mouse or arrow keys to move around the screen.

Similarly, do not use the **BACK** button in your browser. Use the internal navigation buttons in the system to return to the last screen.

If you forget and go to an "unavailable" page, try clicking the **REFRESH** button to reload your page. You can continue to use the page but will have to re-enter any unsaved data.

Hours of Availability

Payroll/Administration is available during the hours posted on your plan's Welcome page. Scheduled maintenance may interrupt accessibility.

Gaining Access to Payroll/Administration

To access Payroll/Administration, you will be required to complete a Sponsor Web Activation Request form, which can be found at www.abaretirement.com (go to Administrator Login). Pages 1 and 2 should be completed and signed by one person, and that person must be a signatory on the employer's bank account. Include a copy of a voided check and e-mail the completed, signed form and check to "contactus@abaretirement.com."

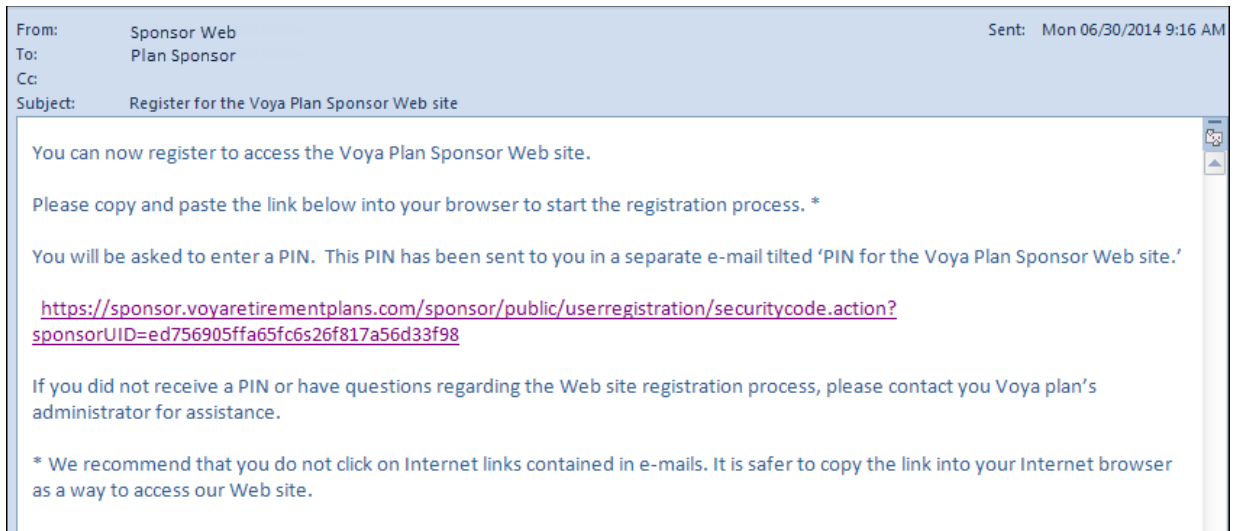
You will only be able to access plans for which you have permission. Please contact the ABA Retirement Funds Program (the Program) at (800) 752-6313 or contactus@abaretirement.com if you have any questions regarding access.

To deactivate a user ID and password, please contact the Program. Since Payroll/Administration allows you to access sensitive data, it is important to notify your recordkeeper immediately if a user ID should be terminated.

Initial Registration Process

The steps below detail how you will proceed through the initial registration process and establish a profile for the Sponsor Web before you can reach Payroll/Administration.


1. After submitting a Sponsor Web Activation Form, you will receive an e-mail which will include a link to the registration site and instructions on how to begin the registration process.



2. A second e-mail will be sent to you which will include the temporary PIN to enter on the registration site.



3. Copy and paste the link from the first e-mail into a browser window to open the Sponsor New Registration screen and begin the registration process. Enter the PIN number on the initial screen and click Continue to proceed.




Enter PIN

Please enter the PIN that was emailed to you.

PIN:

Continue

4. On the next screen, create a personal user name and password. You must adhere to the required criteria listed in the right margin when constructing your user ID and password.



Create User ID and Password

Please create a User ID and Password for the ING Plan Sponsor website. Please remember to always keep your password confidential and change it regularly.

Enter New User ID:

Enter New Password:

Re-enter New Password:

Cancel **Continue**

User IDs must meet the following criteria:
-Minimum length of six (6) characters
-Numbers or Letters are allowed, but no spaces or special characters

Passwords must meet the following criteria:
-Minimum length of eight (8) characters
-Must contain three of the following four characteristics: Upper Case, Lower Case, Numeric or Symbol (/>\$#@)

- On the next screen, select five security questions from the drop-down options and provide the answer to each question.

VOYA

Security Questions

You are seeing this message because you are using our enhanced login security system. In certain situations we will ask you to answer several security questions to ensure the identity of the person accessing this account.

Please answer the security questions below:

Question 1: What street did your best friend in high school live on? (Enter full name of street only)

Answer 1:

Question 2: What elementary school did you attend?

Answer 2:

Question 3: What is the middle name of your oldest child?

Answer 3:

Save Time!

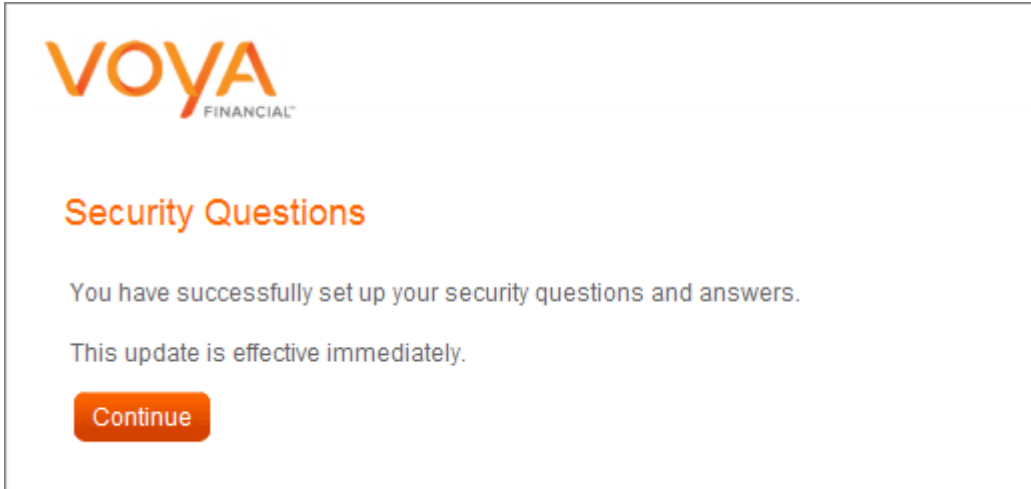
☐ Register this computer/device to skip these security questions next time you sign in. We recommend that you only register computers or devices that are private, such as your home computer.

- On this screen, you have the option to register the device you are currently using. If you register this device, you will not have to answer the security questions the next time you log in from that device; only the user ID and password will be needed for access. Non-registered devices will require that security questions be answered correctly upon login.

Save Time!

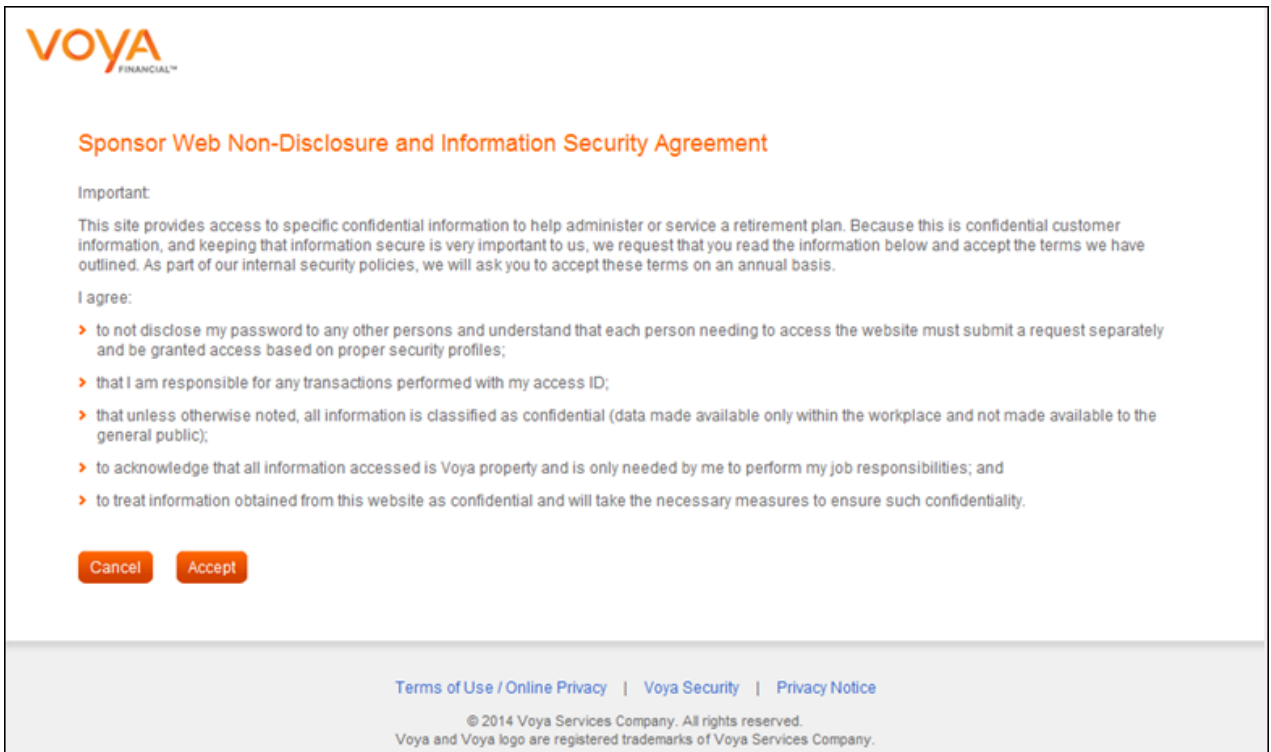
☐ Register this computer or device to avoid answering these questions the next time you log in. We recommend that you only register computers or devices that are private, such as your home computer.

7. On the next screen, you will receive confirmation that your security questions and answers have been successfully established and will be effective immediately. Click Continue to proceed to the next screen.



The screenshot shows the VOYA Financial logo at the top left. Below it, the title "Security Questions" is displayed in orange. The main text reads: "You have successfully set up your security questions and answers." followed by "This update is effective immediately." At the bottom, there is an orange button labeled "Continue".

8. This is the final registration screen. Select Accept to confirm and complete the registration process. This will bring you to the login screen for Sponsor Web where you can now enter your new user ID and password.




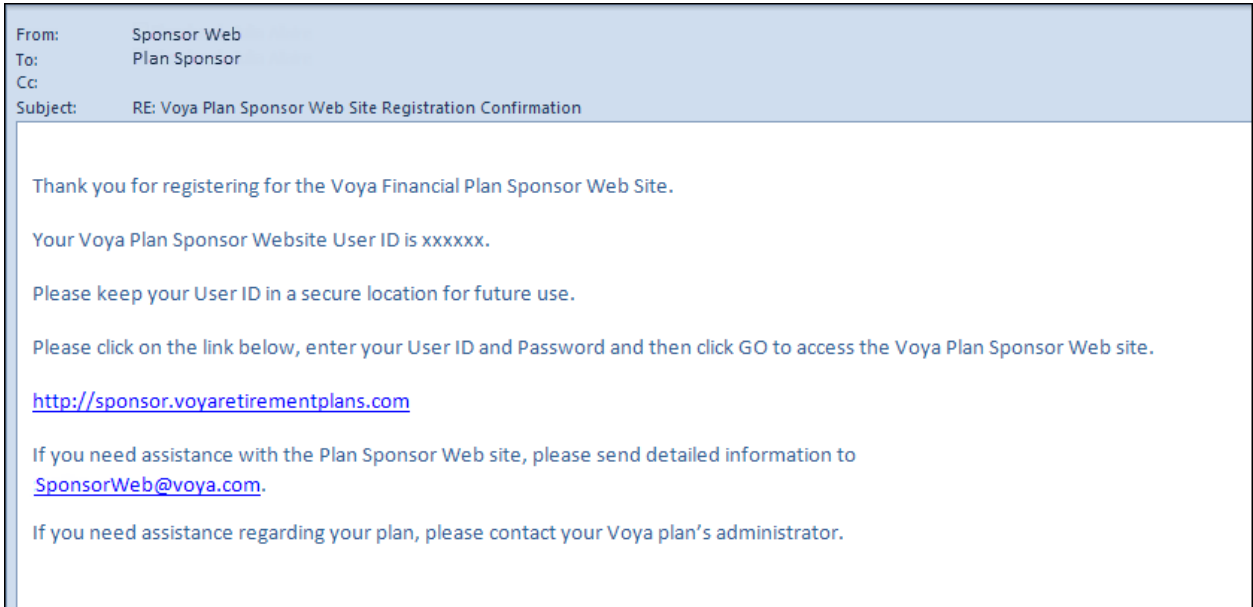
The screenshot shows the VOYA Financial logo at the top left. Below it, the title "Sponsor Web Non-Disclosure and Information Security Agreement" is displayed in orange. The text reads: "Important: This site provides access to specific confidential information to help administer or service a retirement plan. Because this is confidential customer information, and keeping that information secure is very important to us, we request that you read the information below and accept the terms we have outlined. As part of our internal security policies, we will ask you to accept these terms on an annual basis." Below this, it says "I agree:" followed by a list of five bullet points: "to not disclose my password to any other persons and understand that each person needing to access the website must submit a request separately and be granted access based on proper security profiles;", "that I am responsible for any transactions performed with my access ID;", "that unless otherwise noted, all information is classified as confidential (data made available only within the workplace and not made available to the general public);", "to acknowledge that all information accessed is Voya property and is only needed by me to perform my job responsibilities; and", "to treat information obtained from this website as confidential and will take the necessary measures to ensure such confidentiality." At the bottom, there are two orange buttons: "Cancel" and "Accept".

[Terms of Use / Online Privacy](#) | [Voya Security](#) | [Privacy Notice](#)

© 2014 Voya Services Company. All rights reserved.
Voya and Voya logo are registered trademarks of Voya Services Company.

9. When the registration has been completed, a confirmation e-mail will automatically be sent to your e-mail address on record. It will include the URL that should be used for future access the Sponsor Web.

 **Note:** The URL provided in the registration e-mail should no longer be used once the registration process has been completed.



Logging On to Payroll/Administration

Sponsor Web Logon

1. Access the ABA-RF Retirement Funds site: www.abaretirement.com.
2. Click the Administrator Login link on the top right corner.

The screenshot shows the ABA Retirement Funds website. At the top right, there are links for "Participant Login", "Administrator Login" (which is circled in red), and "Site Map". Below the navigation bar, there is a large banner with the text "Who's Watching Your Firm's 401(k) Plan?" and a yellow life preserver graphic. On the left side, there are sections for "Existing Customers" and "Potential Clients" with contact information and login links. At the bottom, there are sections for "ABA Retirement Funds", "News Room", and "Come See Us".

ABA Retirement Funds®

The ABA Retirement Funds Program (the "Program") was created in 1953 and is designed to provide unique, full service 401(k) plans to the legal community.

By leveraging its size, the ABA Retirement Funds Program brings together nearly 3,800 firms to offer a fund lineup and service package typically available to only large corporate retirement plans. This leverage allows the Program to provide:

- FIDUCIARY BENEFITS
- COST BENEFITS
- SERVICE BENEFITS
- PARTNERSHIP PROGRAM

News Room

HURRICANE SANDY RELIEF
IRS ANNOUNCEMENT

On Friday, November 16, 2012, the IRS made an announcement allowing Plan Sponsors flexibility to permit affected participants access to loans and hardship withdrawals prior to formally amending the Plan, if not previously done.

Come See Us

February 5-7
National Association of Bar Executives
2013 Midyear Meeting
Hilton Anatole Dallas, Dallas, TX
www.nabeset.org

February 7-9
National Conference of Bar Presidents
2013 Midyear Meeting
Hilton Anatole Dallas, Dallas, TX

3. Click on Sponsor Web Login.

The screenshot shows the ABA Retirement Funds website. At the top, there is a navigation bar with links: Home, About the Program, Program Investments, Fund Performance, Fees, Services, Plan Design, Literature, and Contact Us. A search bar is located on the right. The main header area features the text "Does your firm's 401(k) feature no out of pocket expenses?" and the ABA logo with the tagline "Defending Liberty. Restoring Trust." Below the navigation bar, the left sidebar contains contact information: "Do you have questions? 800.752.6313" and "Representatives are available 8:00 a.m. - 8:00 p.m. E.S.T." The main content area is titled "Welcome Administrators" and is divided into two columns. The left column is titled "Visit Sponsor Web" and contains text about Sponsor Web (formerly known as Sponsor Connect) and a link to a virtual tour. A blue button labeled "Sponsor Web Login" is circled in orange. The right column is titled "Visit ePAG" and contains text about the electronic Plan Administrator Guide (ePAG). Below the "Sponsor Web Login" button, there is a section for "First Time Users" and a "Sponsor Web Password Reset Option". At the bottom, there is a link to the "Sponsor Web Activation Request Form".

ABA Retirement Funds®

Welcome Administrators

Visit Sponsor Web

Sponsor Web (formerly known as Sponsor Connect) is a suite of powerful Web-based applications for plan administrators to manage plan activity and share data with the ABA Retirement Funds Program.

Please [click here](#) for a virtual tour describing the features and services available through Sponsor Connect.

[Sponsor Web Login](#)

Visit ePAG


[The electronic Plan Administrator Guide \(ePAG\)](#) gives you instant, online access to the essential information, tools and forms you need as a Plan Administrator. Go to [ePAG](#).

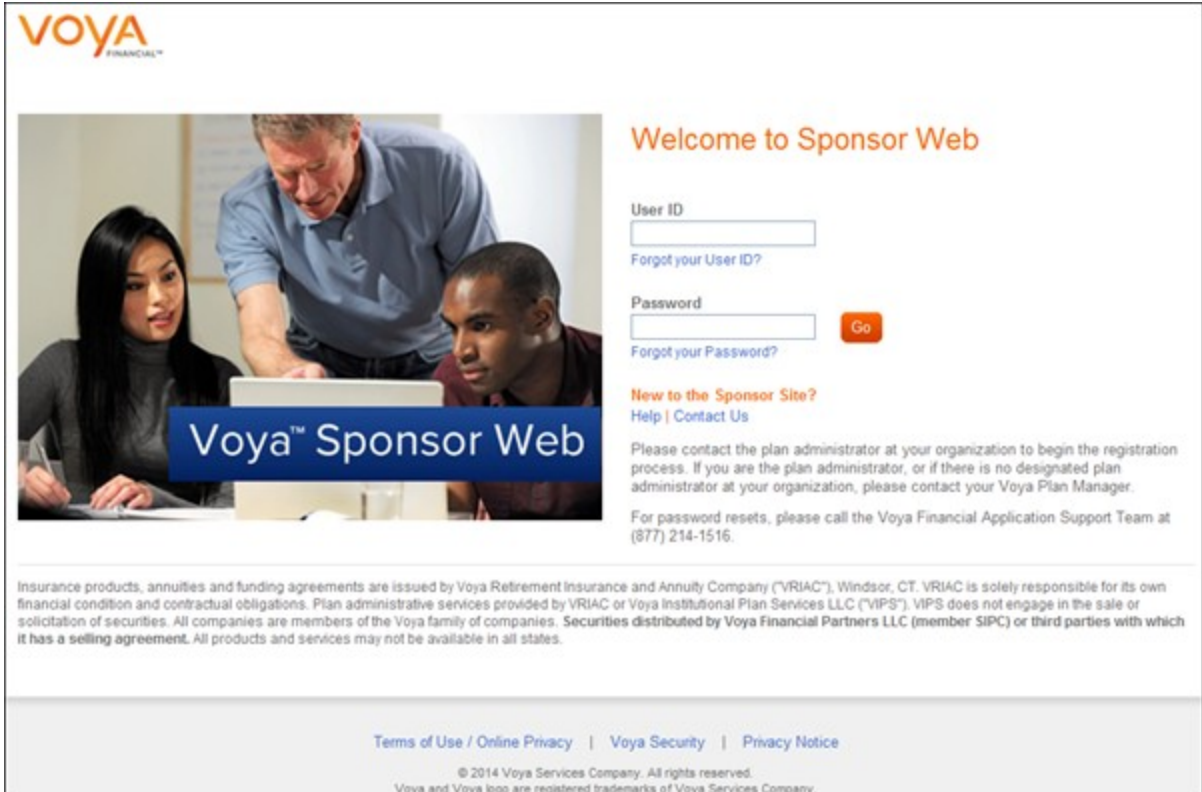
First Time Users: Access to Sponsor Web is password protected and requires authorization. Please complete the Sponsor Web Activation Request Form (see the link below - the form is interactive, so you can complete it right on your desktop before printing it out for signature), scan it and e-mail it to the Program at contactus@abaretirement.com.

Sponsor Web Password Reset Option: If you are a Sponsor Web user, you are required to establish security questions in your online profile that allows you to reset your password yourself should you need to.

[Sponsor Web Activation Request Form](#)

4. Enter your user ID and password and then click **Go** to continue. If you are logging in from a non-registered device you will also be prompted to answer three of your five security questions before entering the site.

 **Note:** Sponsor Web user IDs cannot be shared between users. Each user needs their own unique user ID and password. If you have any questions about logging in, contact the Program.



VOYA
FINANCIAL™

Welcome to Sponsor Web

User ID

[Forgot your User ID?](#)

Password

[Forgot your Password?](#)

Go

New to the Sponsor Site?
[Help](#) | [Contact Us](#)

Please contact the plan administrator at your organization to begin the registration process. If you are the plan administrator, or if there is no designated plan administrator at your organization, please contact your Voya Plan Manager.

For password resets, please call the Voya Financial Application Support Team at (877) 214-1516.

Insurance products, annuities and funding agreements are issued by Voya Retirement Insurance and Annuity Company ("VRIAC"), Windsor, CT. VRIAC is solely responsible for its own financial condition and contractual obligations. Plan administrative services provided by VRIAC or Voya Institutional Plan Services LLC ("VIPS"). VIPS does not engage in the sale or solicitation of securities. All companies are members of the Voya family of companies. Securities distributed by Voya Financial Partners LLC (member SIPC) or third parties with which it has a selling agreement. All products and services may not be available in all states.

[Terms of Use / Online Privacy](#) | [Voya Security](#) | [Privacy Notice](#)

© 2014 Voya Services Company. All rights reserved.
Voya and Voya logo are registered trademarks of Voya Services Company.

Sponsor Web Login Page

VOYA FINANCIAL™

Home | Profile | Help | Contact Us | Logout

Welcome [Plan Administrator](#) | Your last login: 07/01/2014 at 03:20 PM EDT

Welcome to the new Sponsor Web

[TAKE VIRTUAL TOUR](#)

Relationship Summary

Total Defined Contribution Plans: 2
Total Relationship Balance: \$45,512,957.10

Plan Name	Plan Number	Participants	Total Balance	YTD Contributions
ABC SAVINGS AND INVESTMENT PLAN	650253	524	\$24,991,048.18	\$58,717.38
ABC BARGAINING SAVINGS AND INVESTMENT PLAN	650253	460	\$20,521,908.92	\$92,672.14

[Set-Up Top Plans](#) | [View All Plans](#) | [View All Participants >>](#)

Search

☒ By Participant ☐ By Plan

Last Name: First Name:

OR

SSN (last 4 digits): Employee ID:

Partial strings at a minimum of 4 characters may result in a higher number of responses.

[Search](#)

Sponsor Resources

Fiduciary Support on Your Desktop
Our electronic library, PlanFIRST™ Online, delivers desktop resources to help you navigate today's increasingly complex regulatory environment.
[Visit PlanFIRST™ Online](#)

"Sponsor Forum" Monthly Newsletter
Your online source for plan, participant and industry news and information:
<http://www.ingsponsorforum.com/>

"Legislative e-Alert" Monthly Newsletter
Monthly updates on legal and regulatory developments shaping the retirement industry.
Government plan sponsors: <http://www.inggovtealert.com/>

Participant Web Messaging Library
Your video and carousel message options:
[Participant Web Messaging Library](#)

[Terms of Use / Online Privacy](#) | [Voya Security](#) | [Privacy Notice](#)

Sponsor Web Home Page

5. Access a specific plan from the Home page by clicking on the plan name in the Relationship Summary (or My Top Plans) section or performing a quick search using the plan name or number.

★ My Top Plans

DC Plans

Plan Name	Plan Number	Total Balance
ABC SAVINGS AND INVESTMENT PLAN	627001	\$119,036,295.61
ABC BARGAINING SAVINGS & INVESTMENT PLAN	627002	\$118,194,500.86
DC Plan Total Relationship	2 Plans	\$237,230,796.47

[Edit Top Plans](#) | [View All Plans](#) | [View All Participants >>](#)

6. After you select the plan you will see the Plan Summary dashboard.

VOYA
FINANCIAL™

Home | Profile | Help | Contact Us | Logout

ABC Company
ABC SAVINGS AND RETIREMENT PLAN

Relationship Summary | Plan Info | Participant Info | Reports | Processing Center | Resources & Forms

ABC SAVINGS AND RETIREMENT PLAN: 627001 [Print](#)

Plan Summary

Information as of 07/03/2014

Address
60 EMPIRE DRIVE, SUITE 300
SAINT, PAUL, MN

Total Participants
524
Plan Type
Other

View Plan Details | View All Participants >>

Balance Information

Balance	\$24,991,048.18
Total Balance	\$24,991,048.18

Balance By Source of Money	
Employer Pre-tax Cont	\$14,812,657.04
Employee Pre-Tax Cont	\$10,030,536.03
Post-Tax Contributions	\$147,855.11

Show Results By: ☒ \$ ☐ %

View Balance Details By: [Source](#) | [Investment](#) | [Asset Class](#)

Search

☒ By Participant ☐ By Plan

Last Name

First Name

OR

SSN (last 4 digits)
XXXX - XXX -

Employee ID

Partial strings at a minimum of 4 characters may result in a higher number of responses.

Search

Quick Links

Reports

[Plan Access](#)
[On Demand Reporting](#)
[Activity History](#)
[Activity Summary](#)
[Activity Balance Summary](#)

Plan links

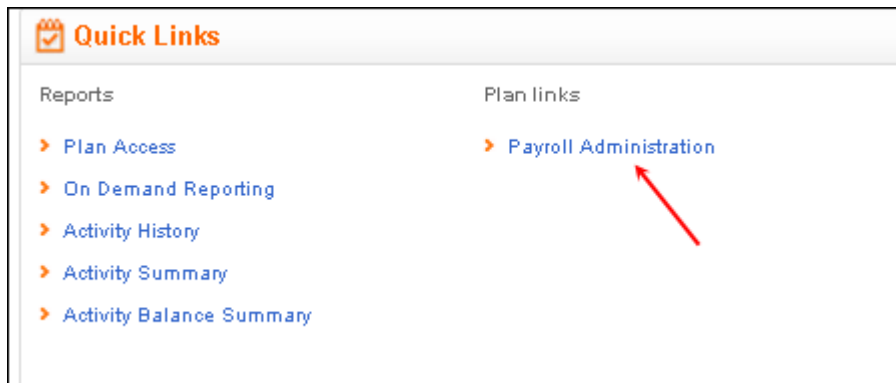
[Payroll Administration](#)

08/21/2014

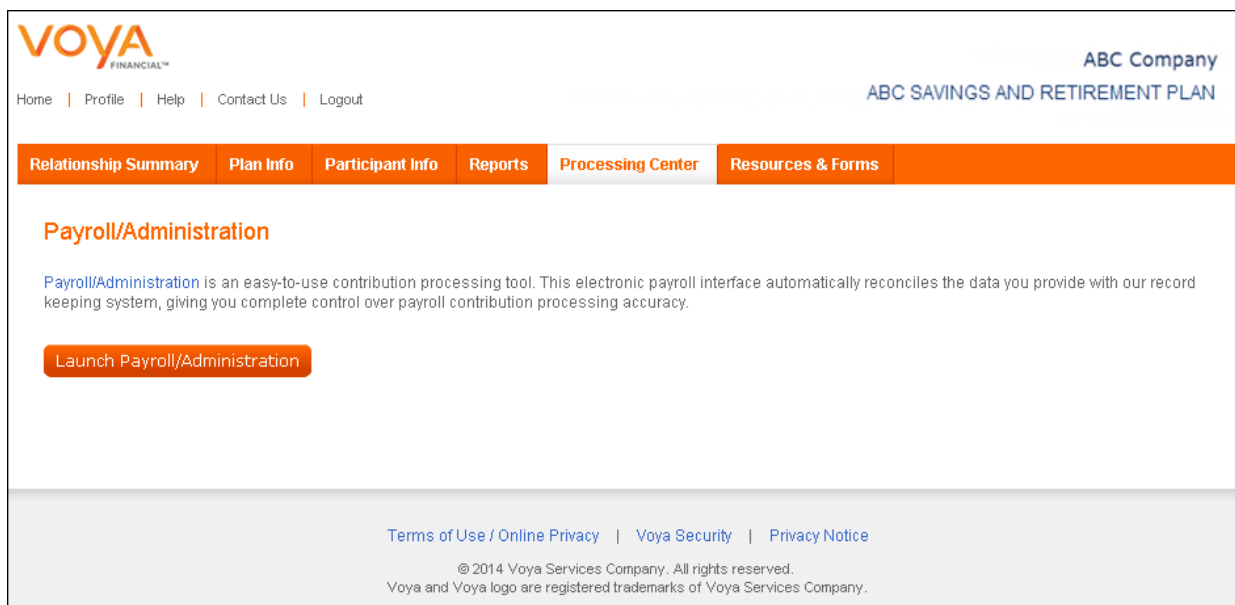
Page 11

Payroll/Administration Logon

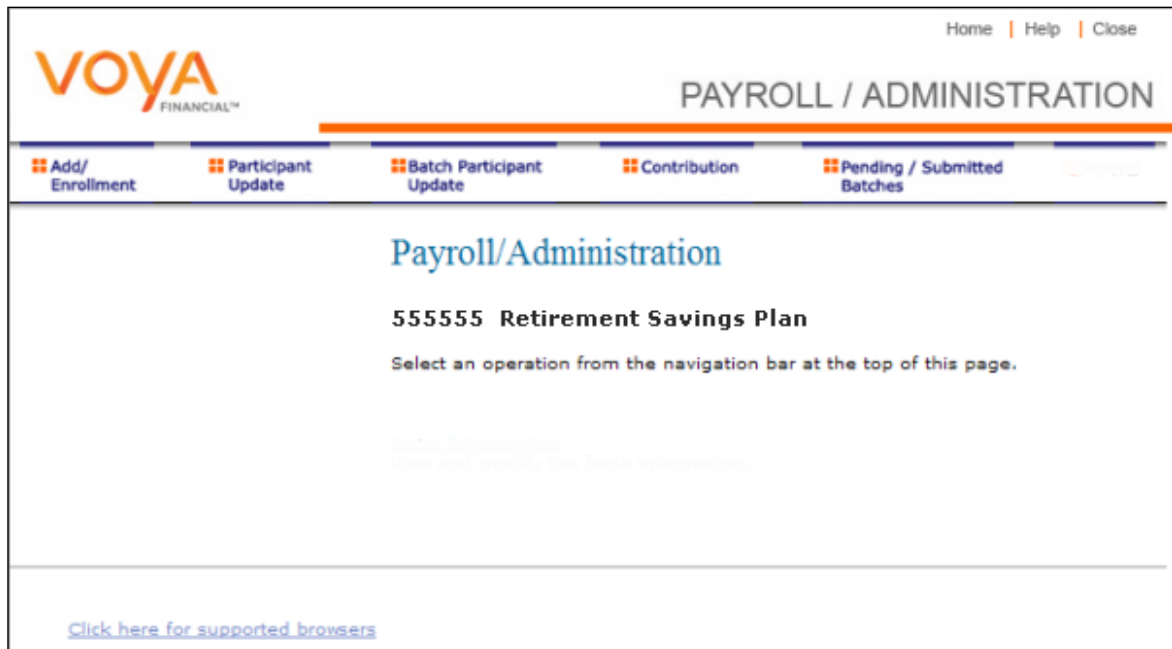
1. Under Quick Links and select Payroll Administration.




2. Click Launch Payroll/Administration.



3. You will see the Payroll Administration Welcome Screen.



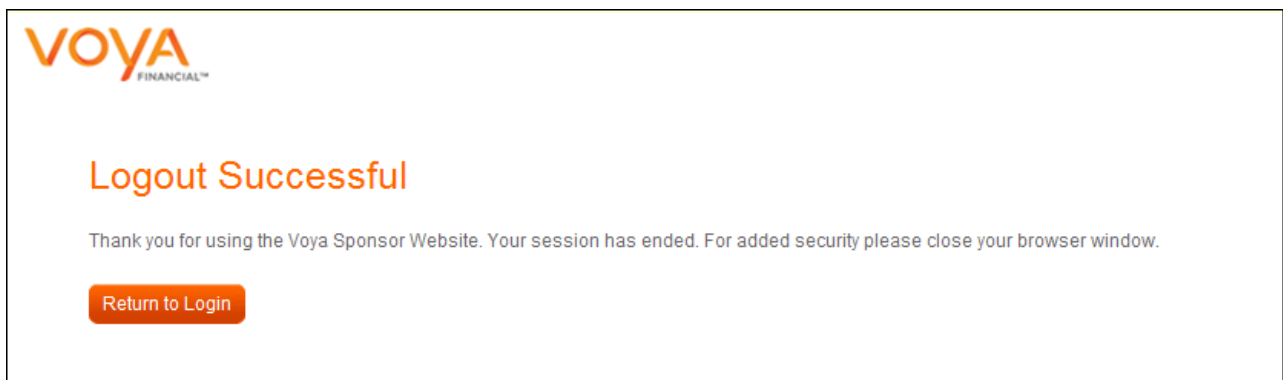
Payroll Administration Welcome Screen

 **Note:** Browser popup blockers should be disabled to run the Payroll/Administration application. Once in the Payroll/Administration application, your user ID and password will determine which retirement plan(s) you may access. Contact the Program with any questions regarding login. If you have access to only one plan, you will go directly to your plan's Welcome screen. If you have access to multiple plans, you must choose one on the Welcome Screen by clicking on it.

Logging Off

To log out of Payroll/Administration, click **Close** in the upper-right corner of the screen. This closes the Payroll/Administration application, although the Sponsor Web Home page will still be open in the first window.

Other applications can be accessed at this point, or you can log out.




Enrolling a Participant

Overview

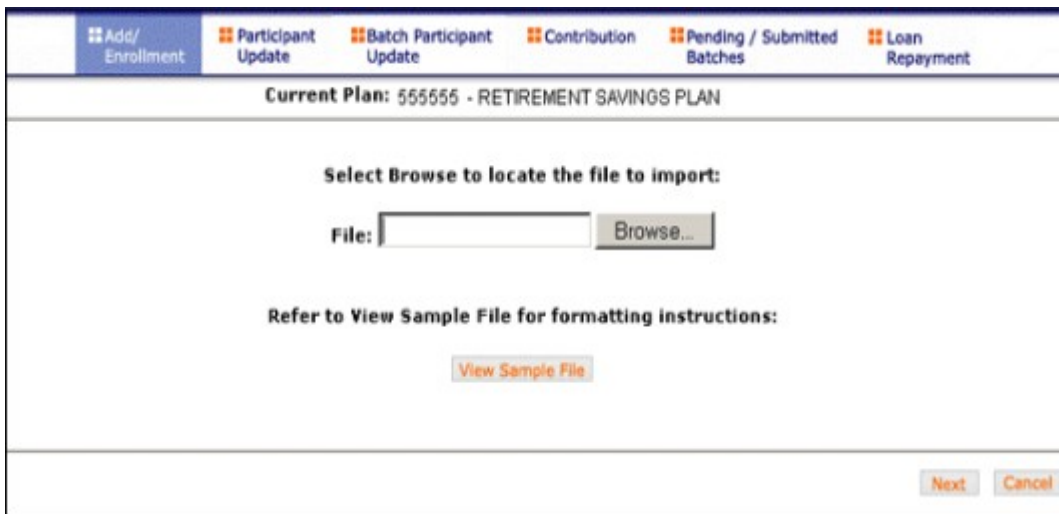
You can use the Enrollment section of Payroll/Administration to enroll new participants into the plan, if applicable. You can also use Add/Enrollment to add indicative data for new participants who enroll in the future. The Enrollment screens contain data entry fields into which you will enter participant data. If you fail to update a necessary field, the system will prompt you to return to the screen and enter the appropriate data.

If you have contributions for a newly eligible participant, any new investments will be allocated to the plan's default fund until the participant makes an election change.

 **Note:** If the plan's default fund is the suite of Retirement Date Funds, then the participant must make an election prior to submitting a contribution.

Enrollment Data – Import Data Screen

All pertinent information on the enrollment screens must be completed to successfully enroll a new participant.



Import File Option

 **Note:** This feature requires Internet Explorer version 7.0 or higher.

Screen Options

- Click **Yes** and **Next** to go to File Browse screen. Please see [Working with Batch Files and Templates](#) for instructions.
- Click **No** and **Next** to go to Participant Enrollment screen (next).
- Click **Cancel** to leave the Enrollment section and return to the Welcome screen.

Participant Enrollment Screen

At the “Import File?” option screen, select **No** and click **Next** to begin the individual enrollment process.

Participant Enrollment Screen

Fields

The following fields accept data entry from you; many of them are required fields:

SSN	Social Security Number—required.
Email	Participant e-mail address (not required).
Last Name	Required.
First Name	Required.
Date of Birth	Format MMDDCCYY (required).
Address	Required.
City	Required.
State	Required.
Zip/Postal Code	Required.
Country	Defaults to United States of America.
Status	Indicates the participant status under this plan. This field is maintained by Voya
Date of Hire	Format MMDDCCYY—required.

Screen Options

- Click **Next** to verify data and continue with the enrollment.
- Click **Clear** to empty all the fields on the screen without saving them.
- Click **Cancel** to cancel the enrollment and return to the Welcome screen.

Edits/Warnings

The system has been designed to make your job easier. If you forget to update one of the required fields, a message will appear on the screen. For example, if you do not enter a date of hire, a message will appear at the top of the screen in red that states:

"Please correct the following error(s) Hire Date is Required."

The screenshot shows the 'Participant Enrollment' screen. At the top, there is a navigation bar with buttons: Add/Enrollment, Participant Update, Batch Participant Update, Contribution, Pending / Submitted Batches, and Loan Repayment. Below this, it says 'Current Plan: 55555 Retirement Savings Plan'. The main heading is 'Participant Enrollment'. A red error message states: 'Please correct the following error(s) Hire Date is required.' Below the message, there is a list of fields: SSN (111221234), Last Name (Brady), First Name (Thomas), MI (empty), Address (12 Patriot Way), City (Anytown), State (MA), Zip/Postal Code (02184), Country (United States of America), Status (04-Eligible; Not Participate), Date of Birth (06 - 15 - 1965), and Date of Hire (empty). At the bottom, there are buttons for Next, Clear, and Cancel.

Participant Enrollment Screen with error

Enter the missing or erroneous information in the fields and click **Next** to proceed to the next screen.

Note: If the ZIP code does not match the state, it will return an error.

Participant Enrollment – Screen 2

If your plan requires additional information, a second Participant Enrollment screen is displayed after clicking **Next** on the Participant Enrollment screen. The fields displayed on this screen will vary depending on the plan setup.

The screenshot shows the 'Participant Enrollment - Optional Data Elements' screen. The navigation bar at the top includes tabs for 'Add/ Enrollment', 'Participant Update', 'Batch Participant Update', 'Contribution', 'Pending / Submitted Batches', and 'Loan Repayment'. The main content area displays 'Current Plan: 555555 - RETIREMENT SAVINGS PLAN' and a section titled 'Participant Enrollment - Optional Data Elements'. This section contains the following fields:

- YEARS OF SERVICE: [Text Input]
- PLAN YTD HOURS: [Text Input]
- DIVISION/LOCATION: [Three Dropdown Menus, each with '[Select]' as the placeholder]
- PAYROLL FREQUENCY: [Text Input]
- MARITAL STATUS: [Text Input]
- GENDER: [Text Input]
- EMPLOYEE NUMBER: [Text Input]

At the bottom right of the form, there are two buttons: 'Next' and 'Cancel'.

Participant Enrollment Screen 2: Optional Information (sample)

Fields

Optional data element fields will vary according to plan setup. Some require a particular type of data (alpha, numeric), or offer a drop-down list with prefilled selections.

Fields vary depending on plan settings and may not reflect all fields in the screen shown above.

Screen Options

- Click **Next** to verify the information and advance to the next screen (depending on your plan setup).
- Click **Cancel** to return to the previous screen and make corrections.

Participant Updates

Overview

The Participant Update function is used to change existing participant information. The fields will be pre-populated with current values on the recordkeeping system.

Participant Selection Screen

Use this screen to select the participant to update. A participant can be selected by entering either their Social Security number (**SSN**) or Last Name. The “Please enter a Participant” drop-down list is defaulted to **SSN**, but **Last Name** can be selected for this search type.


Screen Options

- Enter the participant’s SSN and click **Next** to continue the update.

The screenshot shows the 'Participant Update' screen. At the top, there is a navigation bar with tabs: 'Add/ Enrollment', 'Participant Update' (selected), 'Batch Participant Update', 'Contribution', 'Pending / Submitted Batches', and 'Loan Repayment'. Below the navigation bar, it says 'Current Plan: 555555 - RETIREMENT SAVINGS PLAN'. The main heading is 'Search for a Participant'. Below this, there is a label 'Please enter a Participant' followed by a dropdown menu set to 'SSN' and an input field. At the bottom right, there are 'Next' and 'Cancel' buttons.

Participant Selection by SSN

- Or, you can use the fuzzy search feature by selecting the **Last Name** option from the drop-down list and entering the participant’s last name or the first three letters of the last name in the input box. For example, a participant search for ‘Smi’ will return the last names ‘Smith’, ‘Smiddey’, ‘Smithson’ etc. If only one participant matches your search criteria, you will go directly to the update screen.

 **Note:** Fuzzy searches do not work with SSN values. Participant SSNs must be a full nine numeric digits for the search to function.

The screenshot shows the 'Participant Update' screen with the same navigation bar and current plan information. The main heading is 'Search for a Participant'. Below this, the dropdown menu is set to 'Last Name' and the input field contains 'SMI'. At the bottom right, there are 'Next' and 'Cancel' buttons.

Add/ Enrollment	Participant Update	Batch Participant Update	Contribution	Pending / Submitted Batches	Loan Repayment
Current Plan: 555555 - RETIREMENT SAVINGS PLAN					
Select a Participant					
SSN		Name			
<input type="radio"/> 111111111		SMITH, JAMES			
<input type="radio"/> 222222222		SMITH, JANE			
<input type="radio"/> 333333333		SMITTY, JOHN			
<input type="radio"/> 444444444		SMITZ, JOE			
<input type="button" value="Next"/> <input type="button" value="Cancel"/>					

Participant Selection by Name

- Select the participant and click **Next** to continue the update.
- Click **Cancel** to return to the previous participant search screen.

Participant Update Screen

When processing participant demographic updates, you will be shown data-entry screens populated with the current data. To update the data, simply overwrite the current field data.

Note: If the employee is eligible to participate in the plan, and not enrolled, they may be enrolled on this screen, if applicable for your plan.

Admin	Add/ Enrollment	Participant Update	Batch Participant Update	Contribution	Pending / Submitted Batches	Loan Repayment	Reports
Current Plan: 555555 Retirement Savings Plan							
Participant Update							
SSN: <input type="text" value="222222222"/>		First Name: <input type="text" value="Jane"/>		MI: <input type="text" value="1"/>			
Last Name: <input type="text" value="Doe"/>		City: <input type="text" value="Anytown"/>		State: <input type="text" value="NJ"/>		Zip/Postal Code: <input type="text" value="212341610"/>	
Address: <input type="text" value="One Hometown"/>		Country: <input type="text" value="United States of America"/>		Status: <input type="text" value="04-Eligible; Not Participate"/>			
Date of Birth: <input type="text" value="01"/> - <input type="text" value="01"/> - <input type="text" value="1979"/>		Termination Reason: <input type="text"/>					
Date of Hire: <input type="text" value="01"/> - <input type="text" value="17"/> - <input type="text" value="2012"/>							
Termination Date: <input type="text"/> - <input type="text"/> - <input type="text"/>							
Do you want to make the participant active? <input checked="" type="checkbox"/>							
Has the participant elected the Morningstar Managed Account Program? <input type="checkbox"/>							
(all dates are in mm-dd-ccyy format)							
<input type="button" value="Next"/> <input type="button" value="Clear"/> <input type="button" value="Cancel"/>							

Add/ Enrollment	Participant Update	Batch Participant Update	Contribution	Pending / Submitted Batches	Loan Repayment
Current Plan: 555555 Retirement Savings Plan					
Participant Update					
SSN: 222222222 Last Name: DOE First Name: JANE MI: <input type="text"/> Address: ONE HOMETOWN City: ANYTOWN State: MD Zip/Postal Code: 212341610 Country: United States of America Status: 00-Active And Eligible Date of Birth: 11 - 19 - 1976 Date of Hire: 12 - 19 - 2009 Termination Date: <input type="text"/> - <input type="text"/> - <input type="text"/> Termination Reason: <input type="text"/> (all dates are in mm-dd-ccyy format)					
<input type="button" value="Next"/> <input type="button" value="Clear"/> <input type="button" value="Cancel"/>					

Participant Update Screen

Fields

In addition to the basic demographic fields entered at enrollment (such as name and address), this screen provides the opportunity to update the following fields:

Termination Date (if applicable)	The date of termination.
Termination Reason	Reason for the termination: <ul style="list-style-type: none"> • Retirement • Permanent Disability • Death • Voluntary Termination

Screen Options

- Click **Next** to continue the update and go to the verification screen.
- Click **Clear** to reset the fields without saving changes.
- Click **Cancel** to return to the Welcome screen without saving changes.

Error Messages

If there are any errors associated with the data you entered, Payroll/Administration will display a reject message instructing you to update the appropriate fields and click **Finish**. Reject messages will occur if any required fields are not updated or, in the case of the ZIP code, do not validate properly against the entered state.

Example of a reject message: "ZIP Code required; please correct." For more information, see the [Error Message Details Screen](#) in the Template section.

Additional Data Screen

This screen holds additional data that is specific to the needs of your plan. If additional information is not required, this screen will **not** appear.

Add/ Enrollment	Participant Update	Batch Participant Update	Contribution	Pending / Submitted Batches	Loan Repayment
Current Plan: 555555 - RETIREMENT SAVINGS PLAN					
Participant Update - Optional Data Elements					
YEARS OF SERVICE: 1					
CURRENT HOURS: 0.0 What's this?					
PLAN YTD HOURS: 1040.00 What's this?					
DIVISION/LOCATION: 1002 - BOSTON					
[Select]					
[Select]					
PAYROLL FREQUENCY: 2					
MARITAL STATUS: 1					
GENDER: 1					
EMPLOYEE NUMBER: 1234					
<input type="button" value="Next"/> <input type="button" value="Cancel"/>					

Participant Update – Additional Data Screen

Fields

Fields vary depending on plan settings and may not reflect all fields in the screen shown above.

Screen Options

- Click **Next** to continue to the next screen. Depending on your plan settings, this may be the Contribution Election update screen, or you may go directly to the Verification screen.
- Click **Cancel** to return to the previous screen without saving changes.

Participant Data Verification Screen

When you have finished entering participant update information, you will have the opportunity to verify it before submission.

Add/ Enrollment	Participant Update	Batch Participant Update	Contribution	Pending / Submitted Batches	Loan Repayment									
Current Plan: 555555 - RETIREMENT SAVINGS PLAN														
Please verify the following Participant data NOTE that the operation will not be complete until you press FINISH														
SSN: 222222222 Last Name: DOE Address: 1 HOMETOWN WAY Zip/Postal Code: 02134 Date of Birth: 01/01/1966 Date of Hire: 08/08/2010 Termination Date:		First Name: JANE Country: United States of America Status: 00-Active And Eligible Termination Reason: Optional Data Elements YEARS OF SERVICE : 1 PLAN YTD HOURS : 0.0 DIVISION/LOCATION : 1002 - BOSTON PAYROLL FREQUENCY : 2 MARITAL STATUS : 1 GENDER : 1 EMPLOYEE NUMBER : 1234		MI: City: ANYTOWN State: MASSACHUSETTS										
<table border="1"> <thead> <tr> <th colspan="3">Contribution Elections</th> </tr> <tr> <th>Source</th> <th>Type</th> <th>Amount</th> </tr> </thead> <tbody> <tr> <td>A</td> <td>%</td> <td>100.00</td> </tr> </tbody> </table>						Contribution Elections			Source	Type	Amount	A	%	100.00
Contribution Elections														
Source	Type	Amount												
A	%	100.00												
<div> <input type="button" value="Finish"/> <input type="button" value="Make Changes"/> <input type="button" value="Cancel"/> </div>														

Participant Data Verification Screen

Screen Options

- Review the information on the screen and click **Finish** to complete the update.
- Click **Make Changes** to return to the previous screen and edit the information.
- Click **Cancel** to return to the Welcome screen without saving changes.

Participant Update Confirmation

After clicking **Finish**, you will see the Participant Update Confirmation screen.

Add/ Enrollment	Participant Update	Batch Participant Update	Contribution	Pending / Submitted Batches	Loan Repayment
Current Plan: 555555 - RETIREMENT SAVINGS PLAN					
The Participant update has been successfully completed					
SSN: 222222222		Name: DOE, JANE M			
<div> <input type="button" value="Next Participant Update"/> <input type="button" value="Done"/> </div>					

Participant Update Confirmation Screen

Screen Options

- Click **Next Participant Update** to enter changes for another participant.
- Click **Done** to return to the Welcome screen.

Contributions

Overview

The Contributions section allows you to enter payroll contributions. This section includes the functions:

- Importing a contribution file
- Contribution set-up screen
- Entering payroll data

Importing a Contributions File

If the plan has Contribution File import activated, the first screen will be an option to import a Contribution file. After successfully importing a file, it will be added to the Pending/Submitted Batches list, where you can make final edits before manual submission.

To use the Import File feature, you must use Internet Explorer version 7.0 or higher.

The screenshot shows a web application interface with a navigation bar at the top containing six tabs: 'Add/ Enrollment', 'Participant Update', 'Batch Participant Update', 'Contribution' (which is highlighted), 'Pending / Submitted Batches', and 'Loan Repayment'. Below the navigation bar, a header line reads 'Current Plan: 555555 - RETIREMENT SAVINGS PLAN'. The main content area of the dialog box contains the question 'Do you want to import a file?' followed by two radio button options: 'Yes' and 'No'. At the bottom of the dialog box, there is a note: 'For Internet Explorer users: The import feature requires Internet Explorer 7.0 or higher. You can download the most current version for free at <http://www.microsoft.com>.' In the bottom right corner of the dialog box, there are two buttons: 'Next' and 'Cancel'.

Screen Options

- Click **Yes** and **Next** to go to File Browse screen. Please see [Working with Batch Files and Templates](#) for instructions.
- Click **No** and **Next** to go to the Contribution Set-up screen.
- Click **Cancel** to leave the Contribution section and return to the Welcome screen.

Contribution Set-up Screen

Each time you enter the contribution section, you will be asked to provide the following:

- Batch Name
- Payroll Date
- Display Active Participants Only (Optional)
- Copy Payroll Data From (Optional)
- Source Selection

Contribution Set-up Screen

Fields

Batch Name	This required field is used for memo purposes only. It allows you to enter a description for the payroll you are creating, so the description name is entirely your decision. For example, it may be helpful to differentiate between your hourly payroll and salary payroll.
Payroll Date	These required fields contain the date that payroll was run. You must enter a date in these fields. Note: Please use the correct plan year payroll date when remitting contributions. The payroll date is used to clarify Current vs. Prior Year contributions as it applies to the IRS Limits.
Display Active Participants Only	This field indicates that only active participants should be displayed in a contribution batch. This box is checked by default; you can uncheck the box to view all participants.

Copy Payroll Data From	This field contains a drop-down list of previously submitted payroll files (may not appear, depending on plan settings). You can choose to create a new payroll and copy the financial data from your last payroll. This may be helpful if your payroll does not contain many changes. This data can include hours, (which can be accumulated provided your plan is set up for this function). Note: Previously submitted payroll files are sorted by pay date, with the most recent batch displayed first.
Source Selection	Checked sources will appear on the following batch screen.

Batch Name:

Payroll Date: Month: Day: Year:

Display Active Participants Only: ☒

Copy Payroll Data From:

☒ ROTH ROLL

☒ ROLLOVER

Screen Options

- Once these fields are entered, click **Next**. You will be brought to the Contribution Data Entry screen to enter payroll data.
- Click **Cancel** to return to the Welcome screen without saving changes.

Contribution Payroll Input Screen


The Contribution Payroll Input screen allows you to enter or update contributions for the participants in the plan. You may select and copy data from a previously submitted payroll and make changes based on current information, or you may generate a payroll using new information.


The participants are sorted in alphabetical order by default. You can sort by SSN order by clicking the SSN column header.

A **Catch-Up** option, if available, will display and allow the user to designate catch-up contributions. A batch should not include both catch-up and non catch-up contributions.

If you have contributions for a newly eligible participant, you will need to create a new enrollment by selecting **New Enrollment** at the bottom of the screen. Once the enrollment is completed, you may continue entering payroll data on the Contribution screen.

Any new investments will be allocated to the plan's default fund until the participant makes an election change.

 **Note:** If the plan's default fund is the suite of Retirement Date Funds, then the participant must make an election prior to submitting a contribution.

 **Note:** Only plans offering New Enrollment functionality will see the **New Enrollment** button at the bottom of the screen.

Add/ Enrollment	Participant Update	Batch Participant Update	Contribution	Pending / Submitted Batches	Loan Repayment			
Current Plan: 555555 - RETIREMENT SAVINGS PLAN								
555555 Test_Contr 08-01-2010 Your batch is ready for processing								
Please note: If you are required to update participant Current Period Hours with your contributions, the Hours will only update on Voya's recordkeeping system after the batch has been fully submitted and finished.								
Name	SSN	Number Of Hours	Number Of Hours	Elig Hrs Anniv	Elig Hrs Anniv	Plan Entry Date	Div Sub	
Totals								
DOE, JANE	123123123	0.0	0.00	0.0	0.00	09101990		[S]
DOE, JOHN	234234234	0.0	0.00	0.0	0.00	04042004		[S]
PARTICIPANT, JOE	333444555	0.0	8.00	0.0	8.00		ADFG	[Q]
BLACK, JOHN	345345345	0.00	0.00	0.00	40.00	06012010	0001	[M]
WHITE, MARY	444555666	0.00	0.00	0.00	200.00			[S]
NOMBRE, PRIMUS	555666777	0.0	0.00	0.0	0.00	01011998		[S]
EMPLOYEE, NAME 1	999990005	0.0	0.00	0.0	0.00			[S]
EMPLOYEE, NAME 2	999991010	0.0	0.00	0.0	0.00			[S]
EMPLOYEE, NAME 3	999990001	0.0	0.00	0.0	0.00			[S]
EMPLOYEE, NAME 4	999990004	0.0	0.00	0.0	0.00			[S]
<div> Cancel Clear Save New Enrollment Next </div>								
By clicking on a participant's name, you can link to the Participant Update section to view or update participant information.								

Contribution Payroll Input Screen

Fields

Some columns will have drop-down selection lists (these will differ based on your plan settings and permissions). Many of these values can be changed on this screen.

Screen Options

- Click **Cancel** to leave the Pending Batches screen and return to the Contribution Setup screen.
- Click **Clear** if at any point if you want to clear all of the entered values. Payroll/Administration will reset all dollar amounts.
- Click **Save** to save the data and go to the Participant Batch screen.
- Click **Next** to submit the batch and go to the Participant Batch screen. If there are any errors, it will be noted on that screen.
- If applicable to your plan, you can click **New Enrollment** if you have contributions for a newly eligible participant. This button will direct you to the [Participant Enrollment screen](#). Once the enrollment is complete, you may continue entering payroll data on the Contribution screens.

Once you have clicked **Save** or **Next** on the Contribution Input screen, you proceed to Pending/Submitted Batches to view your file for errors or warnings (see the next section).

If you're using an Imported Contributions File:

- The Contribution Input screen will also display the message "Your file has been successfully imported."
- If the "Display Active Participants Only" box is unchecked, all participants not included in the imported file but found in the recordkeeping system will be displayed.
- Clear** will clear all entered values in the input screen, will not clear values from the imported file.
- Next** will advance to the Pending/Submitted Batches screen.

Participant Updates

By clicking on a participant's name, you can link to the Participant Update section to view or update participant information.

Name
Totals
CARSEN, DOUG
DOE, JANE
JACKSON, TOM

Add/ Enrollment	Participant Update	Batch Participant Update	Contribution	Pending / Submitted Batches	Loan Repayment
Current Plan: 555555 Retirement Savings Plan					
Participant Update					
SSN: <input type="text" value="222222222"/>					
Last Name: <input type="text" value="DOE"/>		First Name: <input type="text" value="JANE"/>		MI: <input type="text"/>	
Address: <input type="text" value="ONE HOMETOWN"/>		City: <input type="text" value="ANYTOWN"/>			
		State: <input type="text" value="MD"/>		Zip/Postal Code: <input type="text" value="212341610"/>	
		Country: <input type="text" value="United States of America"/>			
		Status: <input type="text" value="00-Active And Eligible"/>			
Date of Birth: <input type="text" value="11"/> - <input type="text" value="19"/> - <input type="text" value="1976"/>					
Date of Hire: <input type="text" value="12"/> - <input type="text" value="19"/> - <input type="text" value="2009"/>					
Termination Date: <input type="text"/> - <input type="text"/> - <input type="text"/>		Termination Reason: <input type="text"/>			
(all dates are in mm-dd-ccyy format)					
<input type="button" value="Next"/> <input type="button" value="Clear"/> <input type="button" value="Cancel"/>					

Participant Update Screen

Screen Options

- Click **Cancel** to leave the Participant Update screen and return to the open Contribution batch file.
- Click **Clear** if at any point if you want to clear all of the entered values.
- Click **Next** to save the changes and proceed to the Participant Update Verification screen. From there, click **Finish** to return to the Contribution batch file.

Pending/Submitted Batches

All batch files for Contribution and Loan activity can be viewed with this feature.

Pending batch files may be edited from this screen if they are not submitted. These batches include:

- Saved batches
- Batches scheduled for submission at a later date
- Batches with errors

Submitted batch files cannot be edited.

Payroll/Administration allows you to enter payroll data and, if desired, append the submission of the data for a later date.

Click **Pending/Submitted Batches** to display the Pending/Batches screen. The default display is of **Pending Batches** (a list of all files created but not submitted), of both payroll types (Contributions and Loans). Use the pull-down next to "Please select batch types" to select **Submitted Batches** which will display submitted and deleted batches. Displayed batches are sorted in descending order of payroll date, then by payroll type.

Pending Batches

Pending Batches is the default option for this screen and displays the following batch detail information. This information may vary depending upon the selected plan:

Batch type	<ul style="list-style-type: none">• Contributions• Loans
Batch name	Your name for the batch.
Payroll date	Date you entered for the batch. This format is YYYY-MM-DD-<Sequence Number>. The sequence number is assigned automatically by the system.
Status	<p>Pending batches:</p> <ul style="list-style-type: none">• Open• T-Post ended with errors• Ready to Post <p>Submitted batches all have status: "Submitted."</p>
Contribution Total	Total batch contribution.

Select the file to review or edit, then the file can be submitted for processing.

Current Plan: 555555 - RETIREMENT SAVINGS PLAN

Please select batch types: Pending Batches

Edit Submit Cancel Print Delete

Select	Batch Details	ROLLOVER	PRETX MTCHD	ER MATCH	ER PROFIT	QNEC	Coi
<input checked="" type="radio"/>	Batch: Contributions Batch Name: Test2 Payroll Date: 2010-08-15-1 Status: Ready to Post	0.00	1,156.69	919.66	0.00	0.00	2
<input type="radio"/>	Batch: Contributions Batch Name: test00 Payroll Date: 2010-07-15-1 Status: Open	0.00	1,156.69	3,116.00	0.00	0.00	4
<input type="radio"/>	Batch: Contributions Batch Name: Test01 Payroll Date: 2010-07-01-1 Status: Open	0.00	1,156.69	1,109.66	0.00	0.00	2
<input type="radio"/>	Batch: Contributions Batch Name: Test						

Edit Submit Cancel Print Delete

Pending Batches Screen

- Future postings can still be edited.
- Uploaded batch contributions and loans have an “Open” status until submitted on this screen.
- If there were errors during your batch submission, an error message appears stating “Your payroll batch was not submitted successfully. Please contact Voya immediately prior to re-submitting the batch.” Attempts to resubmit the batch without contacting Voya will fail.

Screen Options

- Select the file and click **Edit**. Your file must be edited before it can be submitted for processing.
- Select the file and click **Submit** to advance to the Confirmation and Remittance screen.
- Click **Cancel** to return to the Welcome screen.
- Select the file and click **Print** to print a copy of your pending submission file. This will open a window containing report sort options. See [Printing a Batch](#) for more details.
- Select the file and click **Delete** to delete a pending batch. Submitted batches cannot be deleted.

Confirmation and Remittance Screen

This screen allows you to review batch information and select remittance method (if allowed for your plan).

Add/ Enrollment	Participant Update	Contribution	Pending / Submitted Batches	Loan Repayment
Current Plan: 555555 - RETIREMENT SAVINGS PLAN				
Please be advised that sufficient funds must be in your bank account before you submit funding.				
Please ensure all information is correct and select finish to process.				
Batch Name: 20101020-C Plan #: 555555 Plan Name: RETIREMENT SAVINGS PL Payroll Date: 2010-10-20 Payroll Sequence Number: 1 User Id: SPAYXX01 Totals by: Contribution: 7498.62 Loan Repayments: 0.00 Funding required for ACH/EFT: 7498.62		Method of Remitting Fund: <input checked="" type="radio"/> ACH Debit Bank Name: BIG BANK Account No #: 222222222 ABA #: 111111111		
<div style="text-align: right;"> <input type="button" value="Finish"/> <input type="button" value="Cancel"/> </div>				

Pending Batch Pre-Confirmation Screen

Note: If forfeiture offsetting is set up for your plan, you will see your forfeiture balance by fund source on this screen. Forfeitures represent any non-vested amount that a participant forfeits due to a termination. The forfeiture amount will be directed to a predetermined fund.

Fields

ACH Debit	Batches submitted before 4:00 pm EST will post for the current trade date. Batches after 4:00 pm EST will post on the next business day.
------------------	--

Screen Options

Finish	Prompts a confirmation option based on your fund remitting selection. Click Ok to submit the batch.
Cancel	Cancels all changes.

A final screen will display the submitted batch information.

Batch Submission Message

Batch Submission Confirmation Screen

When the batch has been submitted for processing, you will see the Batch Submission Confirmation screen.


Click the **Submit Now** button to submit the batch. You will be prompted with a popup confirmation screen that allows you to cancel the batch. Click **OK** to continue, or **Cancel** to return to the Pending/Submitted Batches screen.

Add/ Enrollment	Participant Update	Contribution	Pending / Submitted Batches	Loan Repayment
Current Plan: 555555 - RETIREMENT SAVINGS PLAN				
Batch has been SUBMITTED for processing. Please click 'Done' to proceed to the Welcome screen. Please note that clicking on 'Refresh' or 'Back' button on the browser might cause duplicate transactions being submitted to the system.				
<div> <div> Batch Name: 20101020-C Plan #: 555555 Plan Name: RETIREMENT SAVINGS PLAN Payroll Date: 2010-10-20 Payroll Sequence Number: 1 User Id: SPAYXX01 Totals by: Contribution: 7498.62 Loan Repayments: 0.00 Funding required for ACH/EFT: 7498.62 </div> <div> Date/Time: 09/15/2010 12:02:37 <u>Method of Remitting Fund:</u> Bank Name: BIG BANK Account No #: 222222222 ABA #: 111111111 </div> </div>				
<p>NOTE-Batch processing information:</p> <p>Batches submitted successfully on weekends and market holidays, or after 4:00pm ET (or earlier, should the market close for trading prior to 4:00 pm ET) on any business day, will not be processed until the following business day.</p>				
<p>Note: Please maintain a copy for your records, either save it using the File operation on the browser's menu or take a print out using the print button</p>				
				<input type="button" value="Print"/> <input type="button" value="Done"/>

Batch Submission Confirmation Screen

Screen Options

- Click **Print** to make a copy of the Confirmation screen.
- Click **Done** to return to the Welcome screen.

 **Note:** Batches submitted successfully on weekends and market holidays, or after 4:00 pm ET (or earlier, should the market close for trading prior to 4:00 pm ET) on any business day, will not be processed until the following business day.

Pending Batch Edits

Pending batches can be edited. If the payroll has errors, the status will read: "T-Post Ended with Errors." For more information, see [Error Messages](#) in the Template section.

Select	Batch Details	ROTH ROLL	ROLLOVER	EE PRE TAX	ER MATCH	ER PROFIT
<input type="radio"/>	Batch: Contributions Batch Name: Test3 Payroll Date: 2010-08-30-1 Status: T-Post ended with errors	0.00	0.00	113,561.64	1,027.29	0.00

All errors must be corrected before the file can be submitted for funding. To view and correct the errors, select the batch and click **Edit**.

Add/Enrollment
 Participant Update
 Batch Participant Update
 Contribution
 Pending / Submitted Batches
 Loan Repayment

Current Plan: 555555 - RETIREMENT SAVINGS PLAN

555555 cont_test 2010-08-31
 Please select **View Error Messages** below to see errors

By selecting a division/location, you are temporarily changing the bank account from which the funding for this Contribution is coming from. This division/location will not be updated on the participant record through the Contribution batch. To permanently change a participant's division/location, use Participant Update.

Please note: If you are required to update participant Current Period Hours with your contributions, the Hours will only update on recordkeeping system after the batch has been fully submitted and finished.

Name	SSN	Period Comp	Division/ Location	PLAN YTD HOURS	PLAN YTD HOURS	5	
Totals						0	0
PARTICIPANT, GUY	xxxxx2108	0.00	1002	0.0	8667.00	0.0	0.0
DOE, JAMES	xxxxx7899	0.00	1001	0.0	8667.00	0.0	0.0
DOE, JANE	xxxxx6718	0.00	1007	0.0	8667.00	0.0	0.0
WHITE, JOE	xxxxx7050	0.00	1007	0.0	8667.00	0.0	0.0
POTTER, HARRY	xxxxx7701	0.00	1007	0.0	8667.00	0.0	0.0
SMITH, JAMES	xxxxx7859	0.00	1007	0.0	8667.00	0.0	0.0
BLACK, JOHN	xxxxx8007	0.00	1001	0.0	0.00	0.0	0.0
NOMBRE, PRIMUS	xxxxx8005	0.00	1004	0.0	0.00	0.0	0.0
FOX, JOHN	xxxxx3252	0.00	1001	0.0	8667.00	0.0	0.0
MCCALL, BETSY	xxxxx8673	0.00	1007	0.0	8667.00	0.0	0.0

[View Error Messages](#)
[Cancel](#)
[Clear](#)
[Save](#)
[New Enrollment](#)
[Next](#)

By clicking on a participant's name, you can link to the Participant Update section to view or update participant information.

Pending Batch Edits

Note: If you edit a pending batch, you must confirm that the batch has a scheduled date for submission. Once you click **OK** to confirm the edit, regardless of whether you actually change information, the Payroll Administration system may remove the scheduled Submission Date. Check the Schedule Date and re-enter it if necessary. When you submit the batch, the batch status in the Pending Batch List should say **Scheduled for Processing**. If the batch does not have this status, click **Edit** again and re-enter the date.

Screen Options

- Click **View Error Messages** at the bottom of the screen for error details.
- Click on the Participant names to edit that participant's data.
- Click **Cancel** to leave the screen and return to the Pending Batches screen.
- Click **Clear** if at any point if you want to clear all of the entered values. Payroll/Administration will reset all dollar amounts.
- Click **Save** to save the data and go to the Pending Batches screen. The batch will be in an Open status. You must go back into the batch and click **Next** to submit the batch.
- Click **Next** to submit the batch and go to the Pending Batches screen. If there are any errors, it will be noted on that screen.

- Click **New Enrollment** to add participants using the Add/Enroll screen. When you are finished you will return to this screen.

Error Messages Screen

Error Messages

Batch: Loans **Payroll Date:** 2010-08-08
Batch Name: 08-08-2010 **Payroll Seq:** 1

Error messages are displayed in red while warning messages are displayed in blue.

SSN	Name	Error Message
111222333	PARTICIPANT, JOE	LN00255E - Interest to apply + LH333 exceeds LH330

Select the DONE button to close this window.

Select the PRINT button to print the error messages.

Error Messages Screen

Error Correction

All errors must be corrected before a batch can be submitted. Click **View Error Messages** at the bottom of the screen to view the error details. Find the problems and correct them manually by clicking in the cell and typing correct data.

For more information, see [Error Messages](#) in the Template section.

If the contribution batch does not have any errors, you will see a "Ready to Post" message. With this message, click **Submit** to proceed to the Verification and Remittance screen.

Potential Error Messages

Data will be electronically scanned as it's imported. For example, these error messages could appear and require correction:

- "Participant Ineligible for Contribution."
- Allocations not equal to 100%.



Note: Before the data is accepted, all reject messages must be resolved and warning messages acknowledged by selecting **Edit** in the Pending Batches screen.

Submitted Batches

Open the pull-down list and select **Submitted Batches** to display the client's previously submitted batches. Note that the submitted batches have no options to edit, delete, or submit. These options are only available for pending batches.

Add/ Enrollment		Participant Update		Contribution		Pending / Submitted Batches		Loan Repayment	
Current Plan: 555555 - RETIREMENT SAVINGS PLAN									
Please select batch types: Submitted Batches									
Select	Batch Details	ROLLOVER	EE PRE TAX	ROTH	TAKEOVER	Contribution Total			
<input type="radio"/>	Batch: Contributions Batch Name: 20101905-C Payroll Date: 2010-10-20-2 Status: Submitted Submit Date: 2010-09-15	49562.51	4679.52	2547.36	0.00	56789.39			
<input type="radio"/>	Batch: Contributions Batch Name: 201010201- Payroll Date: 2010-10-20-1 Status: Submitted Submit Date: 2010-09-15	0.00	4679.52	2547.36	0.00	7226.08			
<div>Print</div>									

Submitted Batches Screen

Columns on this screen may vary depending on the types of transactions available in your particular plan setup. In the first column, there will be a **Select** column with bubbles next to each batch. The next column, **Batch Details**, will show the following batch information:

- Batch
- Batch Name
- Payroll Date
- Status
- Submit Date

Other columns will appear as dictated by available plan transaction types. Displayed batches are sorted in descending order of payroll date, then by payroll type.

When the batch is submitted you will see a message:

NOTE-Batch processing information:

ACH Debit - Submit Now: Batches submitted successfully on weekends and market holidays, or after 4:00pm ET (or earlier, should the market close for trading prior to 4:00 pm ET) on any business day, will not be processed until the following business day.

Printing a Batch

Select a batch to print by clicking the bubble next to it in the “Select” column. Then click the **Print** button below the results pane. This function will print out a detailed, participant-level version of the batch. The program will ask you to select a sort type for this report:

Do you want to sort the report by participant Social Security Number or by participant name?

☐ Social Security Number ☐ Name

Do you want to sort the report by participant Social Security Number, by participant name or by Division/Location?

☐ Social Security Number ☐ Name
☐ Division/Location by Social Security Number ☐ Division/Location by Name

Click the **Next** button to proceed to the batch participant report. Submitted batches are saved for 18 months.

Batch: Contributions		Payroll Date: 08-15-2010	
Batch Name: Test		Payroll Seq: 1	
Submit Date: 08-09-2010		Status: Submitted	
SSN	Name	Contribution Type	Amount
111111111	CARSEN, DOUG	ROTH ROLL	\$52,989.00
		EE PRE TAX	\$269.45
		ER MATCH	\$269.45
123123123	DOE, JANE J	EE PRE TAX	\$46.75
		ER MATCH	\$46.75
111222333	JACKSON, TIM	EE PRE TAX	\$137.45
		ER MATCH	\$137.45
222333444	JOHNSON, DAVE	EE PRE TAX	\$1,252.00
		ER MATCH	\$252.00
333444555	MARTIN, LOGAN	EE PRE TAX	\$44.00
		ER MATCH	\$44.00
444555666	SANCHEZ, GEORGE	EE PRE TAX	\$176.22
		ER MATCH	\$176.22
555666777	SMITH, JAYNE	EE PRE TAX	\$59.48
		ER MATCH	\$59.48
666777888	STALLONE, DENNIS	EE PRE TAX	\$109.69
		ER MATCH	\$109.69
ROTH ROLL Total:			\$52,989.00
ER MATCH Total:			\$1,097.04
EE PRE TAX Total:			\$2,097.04
Batch Total:			\$56,183.08

Participant-level data for the selected batch

Loan Repayments

Overview

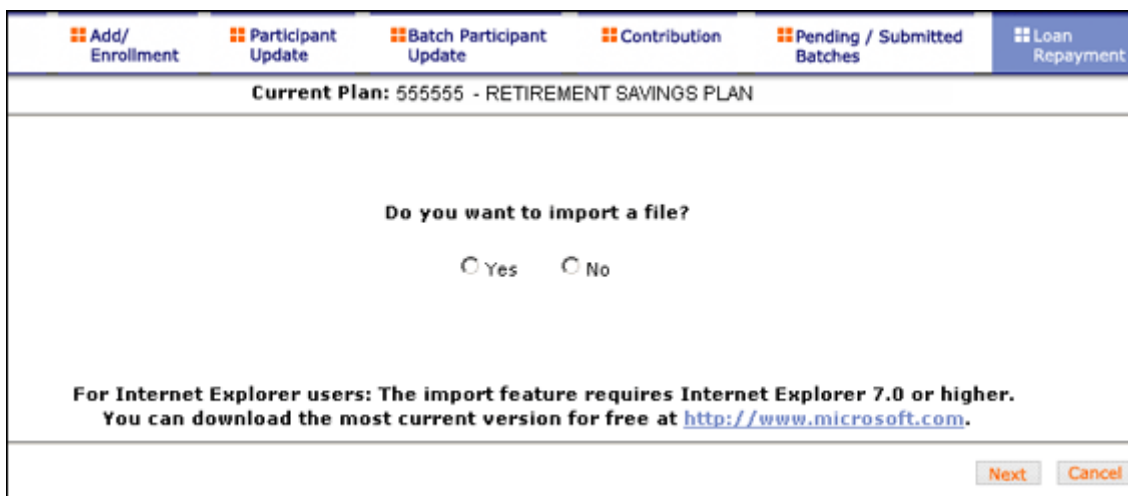
This option allows the user to enter loan repayments at a participant level. After successfully importing a file, it will be added to the Pending/Submitted Batches list, where you can make final edits before manual submission.

 **Note:** Plans not offering participant loans will not have this section.

Importing a Loan File

If the Loan Import function was selected by the client for this plan, when you click on the Loan section in the top navigation bar, you will be asked if you would like to import a file.

To use the Import File feature, you must use Internet Explorer version 7.0 or higher.



The screenshot shows a web application interface for loan repayments. At the top, there is a navigation bar with several tabs: 'Add/ Enrollment', 'Participant Update', 'Batch Participant Update', 'Contribution', 'Pending / Submitted Batches', and 'Loan Repayment'. The 'Loan Repayment' tab is currently selected. Below the navigation bar, the text 'Current Plan: 555555 - RETIREMENT SAVINGS PLAN' is displayed. The main content area contains the question 'Do you want to import a file?' with two radio button options: 'Yes' and 'No'. At the bottom of the main content area, there is a note: 'For Internet Explorer users: The import feature requires Internet Explorer 7.0 or higher. You can download the most current version for free at <http://www.microsoft.com>.' At the bottom right of the form, there are two buttons: 'Next' and 'Cancel'.

Screen Options

- Click **Yes** and **Next** to go to File Browse screen. Please see [Working with Batch Files and Templates](#) for instructions.
- Click **No** and **Next** to go to Create Batch screen.
- Click **Cancel** to leave the Loan section and return to the Welcome screen.

Loan Repayment – Create Batch Screen

Loan Repayment Batch Screen

Fields

You may update the following fields:

Batch Name	Enter the batch name. Batch names cannot contain commas.
Payroll Date	MMDDYYYY format for current or prior year..
Display Active Loans Only	<p>Click this box to display only active loans in the plan.</p> <p>The system displays this field only if there is more than one loan type. If you uncheck this box and the plan has accounts with a loan status other than active, the batch contains the Loan Status for the applicable accounts.</p>

Screen Options

- Click **Next** to perform validations and go to the Loan Input screen.
- Click **Cancel** to leave the Loan Repayment section and return to the Welcome screen.

Loan Input Screen

The Loan Input screen retrieves and displays all active loans in the plan.

Add/ Enrollment	Participant Update	Batch Participant Update	Contribution	Pending / Submitted Batches	Loan Repayment	
Current Plan: 555555 - RETIREMENT SAVINGS PLAN						
555555 08012010 08-31-2010 Your batch is ready for processing						
The payment amount can be populated by selecting the amounts highlighted or you can enter the amounts manually.						
Name	SSN	Loan #	Principal Balance	Expected Amount	Payment Amount	
Totals					0	
BLACK, JOHN	111111111	001	1000.00	42.82	0.00	
DOE, JANE	123123123	001	1000.00	42.82	0.00	
DOE, JOHN	234234234	001	1000.00	42.95	0.00	
FOX, JAMES	333444555	001	1000.00	42.95	0.00	
PARTICIPANT, JOE	444555666	001	15000.00	644.23	0.00	
MCCALL, BETSY	555666777	002	1000.00	42.95	0.00	
POTTER, HARRY	666777888	001	1000.00	42.95	0.00	
SMITH, JAMES	676676678	001	1000.00	42.95	0.00	
NOMBRE, PRIMUS	789789789	002	15000.00	644.23	0.00	
WHITE, MARY	777888999	001	1000.00	42.95	0.00	
Multiply All Payment Amounts by					1	Cancel Next

Loan Input Screen

Add/ Enrollment	Participant Update	Contribution	Pending / Submitted Batches	Loan Repayment		
Current Plan: 555555 - Retirement Savings Plan						
555220 Test 04-30-2012 Your batch is ready for processing						
The payment amount can be populated by selecting the amounts highlighted or you can enter the amounts manually.						
Name	SSN	Loan Status	Loan #	Principal Balance	Expected Amount	Payment Amount
Totals						0
AGOSTINI, REX	111111111	8-Deeme...	001	5615.22	50.04	0.00
CROUSE, BRUCE	123123123	8-Deeme...	001	10000.00	83.40	0.00
GREANEY, ELEANOR	234234234	8-Deeme...	001	45357.30	416.96	0.00
VANNOTE, LELAND	333444555	8-Deeme...	001	2344.90	85.28	0.00
VEREE, GREG	444555666	8-Deeme...	001	9334.66	84.48	0.00

Loan Input Screen with all Loan Statuses

The participants will be sorted in alphabetical order by last name. You can also sort by SSN by double-clicking the SSN column heading.

Some columns will have drop-down selection lists (these will differ based on your plan settings and permissions). Many of these values can be changed on this screen.

Fields

You may update the following field:

Payment Amount	The Payoff Amount (if applicable) and Expected Amount are highlighted and underlined in green. You can manually enter the payment amounts, or you can select the payment amounts automatically by clicking either the Payoff Amount or the Expected Amount.
Multiply Payment Amounts by	This button provides a drop-down list with values from 1-9. For example, if "2" is selected, the payment amount for all participants will be multiplied by two. Select the multiplier value to use for the payment amount. Then click the Multiply Payment Amounts by button.

If you select **Payoff Amount** for a participant loan or enter the payoff amount in the payment field, a PAYOFF image is displayed.

The screenshot shows a form with a 'Payment Amount' label. Below it is a dropdown menu with the following options: 814.18, 0, 0, 0.00, 814.18, and 0. The 814.18 option is selected, and a 'PAY OFF' button is visible next to it.

You can change your selection, however the last selected amount is the one displayed in the input box.

Screen Options

- Click **Next** to proceed to Pending/Submitted Batches to view the file for errors or warnings.
- Click **Cancel** to leave the Loan Repayment section and return to the Welcome screen.
- Click **Add/Delete Participant** to add or delete a participant to the Loan Repayment upload file.

If you're using an Imported Loan File:

- The Loan Input screen will also display the message "Your file has been successfully imported."
- **Next** will execute a TPOST and take you to the Pending/Submitted Batches screen.
- If payoff amount = payment amount, the payoff image will be displayed on the Loan Input screen.
- A button to populate payment amount for all participants will be available. The button will provide a drop-down with values from 1-9. For example, if "2" is selected, the payment amount for all participants will be multiplied by 2.
- If loan payoff is checked in the Admin-General Administration, the application will compare the payment amount to the payoff amount.

Working with Batch Files and Templates

Working with Batch Files and Templates

For most transactions, there are two paths you can use to enter data. You can either enter it manually, or you can import a batch file that contains data for multiple transactions of the same type. The first time you use a particular type of file, you'll create a new template. The template is a map of the data contained in the file so that the system knows which piece of information each column holds. Once you create at least one template for a transaction, you can keep using it over and over. If you make a change to your data file, you'll need to make a corresponding change to the template, or create a new one.

Importing a File

The following Payroll/Administration functions allow file import, but these can vary according to your plan setup.

- Add/Enrollment
- Batch Participant Update
- Contribution
- Loan Repayment

The instructions below can be followed for any of these functions.

The examples shown are for Enrollments.

The screenshot shows a web application interface for payroll administration. At the top, there is a navigation bar with several tabs: 'Add/Enrollment' (selected), 'Participant Update', 'Batch Participant Update', 'Contribution', 'Pending / Submitted Batches', and 'Loan Repayment'. Below the navigation bar, the text 'Current Plan: 555555 - RETIREMENT SAVINGS PLAN' is displayed. The main content area contains a prompt: 'Do you want to import a file?' with two radio buttons, 'Yes' and 'No'. Below this prompt, a message states: 'For Internet Explorer users: The import feature requires Internet Explorer 7.0 or higher. You can download the most current version for free at <http://www.microsoft.com>.' At the bottom right of the form, there are two buttons: 'Next' and 'Cancel'.

File Import

If active, the first screen upon clicking **Add/Enrollment** will be an option to import an Enrollment file.

To use the Import File feature, you must have Internet Explorer version 7.0 or higher.

For each function, select **Yes** when asked if you want to import a file.

File Browse Screen

For any file import, the file must following the rules below:

- The file type must be one of the following formats:
 - Excel spreadsheet (.xls, .xlsx and .xlsm)
 - Comma delimited file (.csv)
 - Plain text (.txt)
 - .fix
 - dat
 - .mdo
 - .md5
 - .pay
 - .wk3
 - .wk4
- The imported file size must be greater than zero and less than 5MB.
- All SSNs must have nine digits; leading zeroes must be included.

Add/Enrollment Participant Update Batch Participant Update Contribution Pending / Submitted Batches Loan Repayment

Current Plan: 555555 - RETIREMENT SAVINGS PLAN

Select Browse to locate the file to import:

File:

Refer to View Sample File for formatting instructions:

File Browse - Add/Enrollment and Batch Participant Update

Add/ Enrollment	Participant Update	Batch Participant Update	Contribution	Pending / Submitted Batches	Loan Repayment
--------------------	-----------------------	-----------------------------	--------------	--------------------------------	-------------------

Current Plan: 555555 - RETIREMENT SAVINGS PLAN

Select the file to import by clicking the browse button:

File:

Refer to sample file for formatting instructions:

The payroll date is used to identify Current vs. Prior Year contribution as it applies to the IRS Limits.

Batch Name:

Payroll Date: Month: Day: Year:

Display Active Participants Only: ☒

File Browse - Contribution

Add/ Enrollment	Participant Update	Batch Participant Update	Contribution	Pending / Submitted Batches	Loan Repayment
--------------------	-----------------------	-----------------------------	--------------	--------------------------------	-------------------

Current Plan: 555555 - RETIREMENT SAVINGS PLAN

Select the file to import by clicking the browse button:

File:

Refer to sample file for formatting instructions:

Batch Name:

Payroll Date: Month: Day: Year:


File Browse - Loan Repayment

Fields

File	Click Browse to navigate to and select the file to import. When the file is selected, click Next to import the file.
Batch Name	Enter the batch name. Batch names cannot contain commas.
Payroll Date	MMDDYYYY format for current or prior year. For contributions especially, please make sure you enter the correct payroll date; it is used to clarify Current vs. Prior Year contributions as it applies to the IRS Limits.
Display Active Participants Only	(Contribution files only.) This field indicates that only active participants should be displayed in a contribution batch. This box is checked by default; you can uncheck the box to view all participants.

Screen Options

- Click **View Sample File** to view a PDF of a sample Excel file.
- Click **Cancel** to return to the previous screen.
- Click **Next** after selecting the appropriate file to import.

 **Note:** When you are in the process of creating a template, and attempt to change screens, you will be prompted to save the template.

Enrollment Import Formatting Rules

The Enrollment Import feature is used as an alternative for manually entering data on the Enrollment screen to add employee data to the system from a prepared file.

Required Fields and Formatting

All fields/cells should be formatted as text.

Field Name	Requirements
Social Security Number	<ul style="list-style-type: none"> • Must be nine digits. • Leading zeros must be included. • Acceptable formats: 999-99-9999, 999/99/9999, or 999999999. <p>If the Social Security number format does not contain hyphens or slashes, make sure that the field is formatted as text. In MS-Excel, a green triangle indicates that you have stored values as text.</p>
Full Name	<ul style="list-style-type: none"> • Separate fields/columns are required for Last Name, First Name and Middle Initial. • Last Name+ First Name + and Middle Initial fields cannot exceed 30 characters when combined.
Address Line 1	Maximum 40 characters.
Address Line 2	Maximum 40 characters.
City	Maximum 28 characters.
State Code	2 characters are required if the country is USA or Canada.
Postal Code	<ul style="list-style-type: none"> • Applicable only if country is USA or Canada. • USA ZIP codes may consist of 5 or 9 digits (no dashes). • Canadian postal codes contain 6 characters.
Birth Date	<ul style="list-style-type: none"> • Acceptable formats: MM-DD-CCYY, MM/DD/CCYY or MMDDCCYY. • Eight digits are required. • Leading zeros in months must be included. For example, 02 for February, not 2. • Employee must be between 15 and 75 years of age for employment.
Hire Date	<ul style="list-style-type: none"> • Acceptable formats: MM-DD-CCYY, MM/DD/CCYY or MMDDCCYY. • Eight digits are required. • Leading zeros in months must be included.
Plan Entry Date	Defaults to the current date.

Optional Data

If any optional fields are blank, or contain only a hyphen, Payroll/Administration bypasses the field completely. For the purposes of investment election, a blank is the same as a zero (0.00). Blank dollar amount fields are bypassed for Contribution and Loan Repayment import files.

Gender	One-character format: 1 – Male 2 – Female
Marital Status	One-character format: 1 – Single 2 – Married
.CSV-files must be comma delimited. Quotation marks must be removed from any values containing either single (') or double quotation (" ") prior to being imported into Payroll Administration.	

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
	SSN (format as last or hyphen to maintain lead zeros)	Last Name	First Name	MI	Addr1	Addr2	City	State	Zip Code (no dashes)	DOB required	DOB required	Plan Entry Date-ff required	Division/Location	PAYFREQ 4-Month 5-6/Week 6-12/Week	Emp #
1															
2	12345678	SAMPLE	JOE	R	1 MAIN ST	APT #2	WINDSOR CT	060950001	01011980	01012000	01012000	0001	6	012345	
3	010-23-6547	DOE	JANE	R	1 MAIN ST		WINDSOR CT	06095	01011982	01012001	01012001	0001	6	123456	

Enrollment Import File Sample in MS Excel Format

Import.csv - Notepad															
File Edit Format View Help															
SSN, LastName, First Name, MI, Addr1, Addr2, City, State, Zip , DOB, DOB, Plan Entry Date, Division/Location, PAYFREQ, Emp number															
900123456, SAMPLE, JOE, R, 1 MAIN ST, APT #2, WINDSOR, CT, 060950001, 01011980, 01012000, 01012000, 0001, 6, 012345															
010-23-6547, DOE, JANE, R, 1 MAIN ST, WINDSOR, CT, 06095, 01011982, 01012001, 01012001, 0001, 6, 123456															

Enrollment Import File Sample in .CSV Format

Contribution Import Formatting Rules

- All fields/cells should be formatted as text.
- In MS-Excel; a green triangle indicator in the cell signifies that you have stored values as text.
- Comma Separated File (*.CSV)-files must be comma delimited. Quotation marks must be removed from any values containing either single (') or double quotation (" ") prior to being imported.
- Fixed width files are acceptable. The same formatting rules apply to each field as Excel or (*.CSV).
- Some data categories will only be accepted by the system if they are allowed by the plan rules. For special circumstances, additional categories may be available or required but not listed in this document.
- Indicate negatives with minus sign to the immediate left of the amount, no parenthesis. For example: -9999.99.
- Verify participant's account balances prior to submitting adjustments with negative values. Accounts are subject to change and market value fluctuation.
- Confirm that all employees on the spreadsheet are entered into the system and that the enrollment process is complete.
- Loans can be included on the same spreadsheet, but will need to be imported separately using the Loan Repayment function. A stand-alone spreadsheet for loan repayments is required if a participant repays more than one loan number at a time. To see an example of this, click the Loan View Sample File PDF link on the Loan Repayment Import screen.
- Import multiple payroll dates separately.
- If there are header/trailer lines, they must be identified when creating the template. Rows must be consecutive; remove any blank rows.

Contribution Import Required Fields

Data Fields and Formatting

Fields/cells should be formatted as text.

Social Security Number	<ul style="list-style-type: none"> • Must contain nine digits. • Leading zeros must be included. • Acceptable formats: 999-99-9999, 999/99/9999, or 999999999. • If the Social Security number format does not contain hyphens or slashes, make sure that the field is formatted as text. In MS-Excel, a green triangle indicates that you have stored values as text.
Participant Name	Not required.
Contribution Source Columns	<p>If the file does not contain decimals (values are implicit—see below), check the box labeled “Check this box if dollar amounts in the file do not have decimal points” when mapping.</p> <p>Do not include dollar signs or commas.</p> <p>Acceptable formats can either be:</p> <ul style="list-style-type: none"> • Explicit: 999.99 • Implicit: 99999 (the two rightmost digits are cents)

	A	B	C	D
1	SSN	EE Contrib	ER Match	Actual Hours
2	000000004	10.00	10.00	660
3	100000005	20.00	20.00	678
4	111057777	30.00	30.00	600
5	100000007	40.00	40.00	598
6	123456789	50.00	50.00	602
7	111222333	60.00	60.00	600
8	123456788	70.00	70.00	600
9				

Contribution Import File Sample in MS Excel Format

```

File Edit Format View Help
SSN,EE Contrib,ER Match,Actual Hours
000-00-0004,-110.00,-10.00,660
100-00-0005,220.00,20.00,678
111-05-7777,1430.00,143.00,600
100-00-0007,240.00,24.00,598
123-45-6789,351.00,35.10,602
111-22-2333,65.00,6.50,600
123-45-6788,70.00,70.00,600
  
```

Contribution Import File Sample in .CSV Format

Loan Repayment Import Formatting Rules

- All fields/cells should be formatted as text.
- In MS-Excel; a green triangle indicator in the cell signifies that you have stored values as text.
- Comma Separated File (*.CSV)-Files must be comma delimited. Quotation marks must be removed from any values containing either single (' ') or double quotation (" ") prior to being imported.
- Fixed width files are acceptable. The same formatting rules apply to each field as Excel or (*.CSV).
- Contributions can be included on the same spreadsheet as loans, but will need to be imported separately using the Contribution function. For an example of this, click the Contribution View Sample File PDF file link on the Contributions Import screen.
- A stand-alone spreadsheet for loan repayments is required if a participant repays more than one loan number at a time.
- Import multiple payroll dates separately.
- If there are header/trailer lines, they must be identified when creating the template. Rows must be consecutive. Remove any blank rows.
- Refer to the loan amortization schedule for the payment amount and loan number.
- Payments must be the exact payment amount or an exact multiple of the scheduled repayment.
- Negatives and adjustments are not permitted to loans.

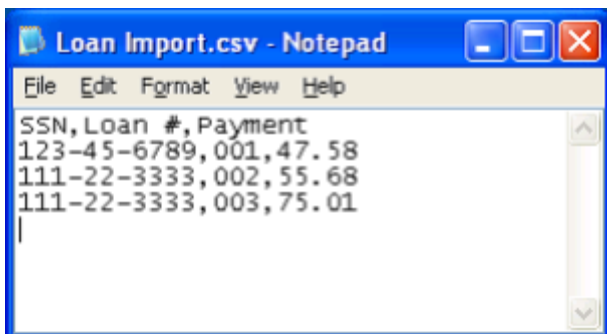
Data Fields and Formatting

Fields/cells should be formatted as text.

Social Security Number	<ul style="list-style-type: none"> • Must contain nine digits. • Leading zeros must be included. • Acceptable formats: 999-99-9999, 999/99/9999, or 999999999. • If the Social Security number format does not contain hyphens or slashes, then ensure that the field is formatted as text. In MS-Excel, a green triangle indicates that you have stored values as text.
Participant Name	Not required.
Loan Repayment Amount Column	<p>If the file does not contain decimals (values are implicit—see below), check the box labeled “Check this box if dollar amounts in the file do not have decimal points” when mapping.</p> <p>Do not include dollar signs or commas.</p> <p>Acceptable formats can either be:</p> <ul style="list-style-type: none"> • Explicit: 999.99 • Implicit: 99999 (the two rightmost digits indicate cents)
Loan Number	Three digits required and must include leading zeros. For example: 001, 002, 006.

	A	B	C
1	SSN	Loan acct #	Payment
2	123-45-6789	001	47.58
3	111-22-3333	002	55.68
4	111-22-3333	003	75.01
5			
6			
7			

Loan Repayment Import File Sample in MS Excel Format



Loan Repayment Import File Sample in .CSV Format

Select Template Screen

After you've selected **Next** from the File Browse screen, you'll see the Select Template screen. From here you can:

- Select a template
- Add a new template
- Delete a template

A template contains the format you define for the import file, including column headings. After you select your file, you'll define which column contains SSN, First Name, Last Name, etc. A new template can be saved, so that you can reuse it or modify it to create another template for the next file import.

When importing a file, verify that the template you selected contains the correct number of columns to accommodate the number of columns in the file so the imported file data formats correctly. You can add columns to an existing template or, if necessary, click **Create New Template** to create a new template that matches the format of the imported file.

Select Template

Fields

Select Existing Template	The pull-down field contains a list of previously saved templates. Select one, and then click Next to see that template. See the Existing Template Screen , below.
---------------------------------	---

Screen Options

- Click **Create New Template** to go to the New Template screen.
- Click **Delete Existing Template** to delete the template selected from the drop-down tab.
- Click **Next** after selecting an existing template to advance.
- Click **Cancel** to return to the previous screen.

New Template Screen

You'll see this screen if you selected **Create New Template**. It is used to create a new template for an imported file. When creating a new template the following rules apply:

- New template name has a maximum of 20 characters.
- A maximum of 50 templates can be saved per plan.
- Optional data elements enabled for Enrollment will also be displayed. The override name for the optional data element will be displayed.
- A value of "Not Applicable" will also be displayed to exclude any columns from the imported file.
- At any time while you are creating a template, you can click the **Save** button to save your changes.

Add/ Enrollment	Participant Update	Batch Participant Update	Contribution	Pending / Submitted Batches	Loan Repayment
Current Plan: 555555 - Retirement Service Plan					
New Template Name: <input type="text"/> Headers: <input type="text" value="No Headers"/> Trailers: <input type="text" value="No Trailers"/>					
Select the appropriate heading from the drop down list for each column. To bypass a column, select Not Applicable.					
1	2	3	4	5	6
Select	Select	Select	Select	Select	Select
SSN	Firstname	M	Lastname	Address	City
222222222	John	M	Smith	401 Atrium Drive	Somerset
333333333	Jill	A	Jackson	402 Atrium Drive	Somerset
444444444	George	D	Miller	403 Atrium Drive	Somerset
<div> <div></div> <div></div> </div>					
<div> <div>Click SAVE to store template or</div> <div> <div>Save</div> <div>Next</div> <div>Cancel</div> </div> </div>					

New Template screen for Add/Enrollment

Add/ Enrollment	Participant Update	Batch Participant Update	Contribution	Pending / Submitted Batches	Loan Repayment
Current Plan: 555555 - Retirement Savings Plan					
New Template Name: <input type="text"/>		Headers: <input type="text" value="No Headers"/>		Trailers: <input type="text" value="No Trailers"/>	
<input checked="" type="checkbox"/> Check this box if dollar amounts in file do not have decimal points					
Select the appropriate heading from the drop down list for each column. To bypass a column, including name, select Not Applicable					
1	2	3	4		
Select	Select	Select	Select	Select	
SSN	F Name	M Name	L Name	Address	
145820001	John	M	Smith	401 Atriur	
145820002	Jill	A	Jones	402 Atriur	
145820003	George	D	Miller	403 Atriur	
<div> <div>Click SAVE to store template or NEXT to save and continue</div> <div> <input type="button" value="Save"/> <input type="button" value="Next"/> <input type="button" value="Cancel"/> </div> </div>					

New Template screen Contribution/Loan Repayment

You must select a column heading for each column. See the sample images below that illustrate the Column Heading selections and the field definitions for more information.

Add/ Enrollment	Participant Update	Batch Participant Update	Contribution	Pending / Submitted Batches	Loan Repayment
Current Plan: 555555 - Retirement Savings					
New Template Name: <input type="text"/>		Headers: <input type="text" value="No Headers"/>		Trailers: <input type="text" value="No Trailers"/>	
Select the appropriate heading from the drop down list for each column. To bypass a column, select Not Applicable.					
1	2	3	4	5	6
Select	Select	Select	Select	Select	Select
SSN	Firstname	M	SSN	Address	City
222222222	John	M	Last Name	401 Atrium Drive	Somerset
333333333	Jill	A	First Name	402 Atrium Drive	Somerset
444444444	George	D	Middle Init	403 Atrium Drive	Somerset
<div> <div>Click SAVE NEXT to sa</div> <div>or</div> <div> <input type="button" value="Save"/> <input type="button" value="Next"/> <input type="button" value="Cancel"/> </div> </div>					

Selecting the Column Headings

Add/ Enrollment	Participant Update	Batch Participant Update	Contribution	Pending / Submitted Batches	Loan Repayment
Current Plan: 555555 - Retirement Savings Plan					
New Template Name: <input type="text"/> Headers: <input type="text" value="No Headers"/> Trailers: <input type="text" value="No Trailers"/>					
Select the appropriate heading from the drop down list for each column. To bypass a column, select Not Applicable.					
1	2	3	4	5	6
Select	Select	Select	Last Name	Select	Select
SSN	Firstname	M	Lastname	Address	City
222222222	John	M	Smith	401 Atrium Drive	Somerset
333333333	Jill	A	Jackson	402 Atrium Drive	Somerset
444444444	George	D	Miller	403 Atrium Drive	Somerset
<p>Click SAVE to store template or NEXT to save and continue</p> <p><input type="button" value="Save"/> <input type="button" value="Next"/> <input type="button" value="Cancel"/></p>					

Selecting the Column Headings in a File Using Headers

Fields

You may update the following fields:

New Template Name	Enter a name for the new template.
Headers	Select the number of header rows contained in the import file. Options include "No Headers" (default), and the values 1-9. When the file is imported, these header fields will be ignored to obtain the file data. They will still appear on this screen to help you select the column headings. They will no longer appear after you click Next .
Trailers	Select the number of trailer rows contained in the import file. Options include "No Trailers" (default), and the values 1-9. When the file is imported, these trailer fields will be ignored.
Check Box if Dollar Amounts Have an Implied Decimal	Check this box if the imported file has implicit decimals. If your file has decimals, leave this box unchecked.
Column Headings	Select a heading name for each column from the drop-down list. The list consists of the basic information such as name and Social Security number, all the optional fields for the plan and an entry for each available source in the plan. To bypass a column, including name, select Not Applicable .

Screen Options

- Click **Save** to save the template.
- Click **Next** to save the new template and perform validations. See the section below for possible error messages and their meanings. This step also removes formatting marks from the imported data.
- Click **Cancel** to return to the previous screen.

Map Column Header Screen

If you import a file other than an Excel or .csv, you will see a screen to select columns to appear in your new template.

You can select an existing template or create a new template by selecting the options below:

Select Existing Template: [Create New Template](#)

New Template Name: Headers: Trailers:

Available Columns

- SSN
- Last Name
- First Name
- Middle Init
- Address1
- Address2
- City
- State
- Zip Code
- Country
- Date of Birth
- Date of Hire
- Not Applicable

Selected Columns

>> <<

Move Up Move Down

Explorer User Prompt

Script Prompt:

Please enter the 'SSN' column width:

OK Cancel

Map Column Header Screen

Select a column header from the left-hand menu and click [>>](#). A column width prompt will appear where you must enter the number of characters that your column can be. Enter the number and click **OK** to add it to the **Selected Columns** list on the right. The selected columns will appear in your new template.

To remove a column head from the **Selected Columns** list, highlight it and click [<<](#).

Fields

Select Existing Template	You can select an existing template here if applicable.
New Template Name	Or you can enter a unique template name here.
Headers	Enter the number of headers (1-9), or "No Headers" if your file has no headers.
Trailers	Enter the number of trailers (1-9) or "No Trailers" if your file has no trailers.

Screen Options

- Edit the column order using the **Move Up** and **Move Down** controls on the right side.
- Click **Next** to advance to the template confirmation screen. You can review the template information before saving.
- Click **Cancel** to return to the previous screen.

Existing Template Screen

If you select an existing template you will see the screen below. Existing templates can be modified and saved. Simply make any changes you need to make to any editable field, just as in the new template screen.

Add/ Enrollment	Participant Update	Contribution	Pending / Submitted Batches	Loan Repayment	
Current Plan: 555555 - Retirement Savings Plan					
Existing Template: <input type="text" value="Standard"/> Headers: <input type="text" value="No Headers"/> Trailers: <input type="text" value="No Trailers"/>					
This template can be modified by selecting a new heading from the drop down list. To bypass a column, select Not Applicable.					
1	2	3	4	5	6
SSN	First Name	Middle Init	Last Name	Address1	City
SSN	F Name	M Name	L Name	Address	City
145820001	John	M	Smith	401 Atrium Drive	Somerset
145820002	Jill	A	Jones	402 Atrium Drive	Somerset
145820003	George	D	Miller	403 Atrium Drive	Somerset
Click SAVE to store template or NEXT to save and continue <input type="button" value="Save"/> <input type="button" value="Next"/> <input type="button" value="Cancel"/>					

Existing Template Screen

Fields

Existing Template	Template name
Headers	The number of headers can be selected.
Trailers	The number of trailers can be selected.


Note: If you previously had **Plan Entry Date** within your template, it will now show as N/A since you no longer need to enter it; the system will automatically assign the current date.

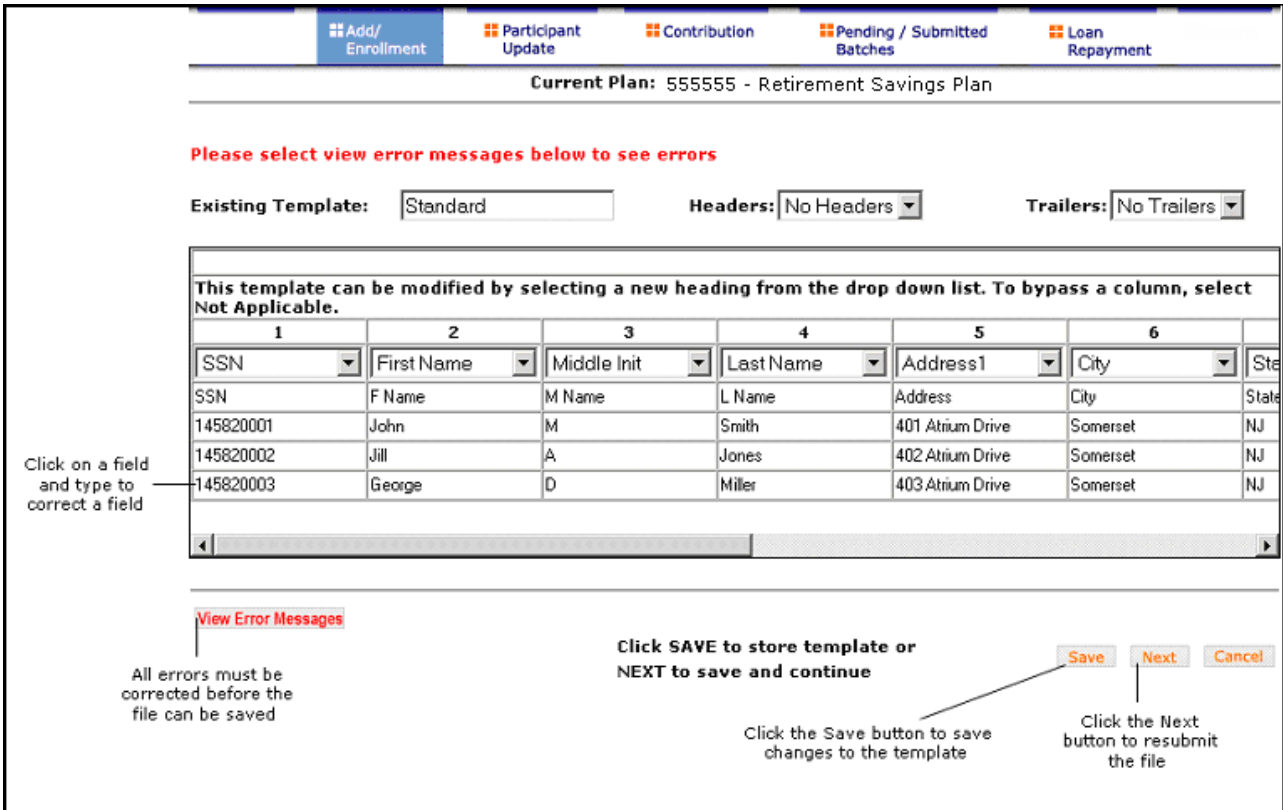
Screen Options

- Click **Next** to perform validations and save the new template. See the section below for possible error messages and their meanings. This removes any formatting marks.
- Click **Cancel** to return to the previous screen.
- If there are any errors in the imported data, then the [Error Messages](#) screen will appear with error information.
- If the data is validated, then you will advance to the [Verification](#) screen.

Error Correction

All errors must be corrected before the new template can be saved. Click **View Error Messages** at the bottom of the screen to view the error details. Find the problems and correct them manually by clicking in the cell and typing the correct data.

 **Note:** You must click **Next** from the Template screen and advance to the error correction screen in order to correct fields.



Current Plan: 555555 - Retirement Savings Plan

Please select view error messages below to see errors

Existing Template: Headers: Trailers:

This template can be modified by selecting a new heading from the drop down list. To bypass a column, select Not Applicable.

1	2	3	4	5	6	7
SSN	First Name	Middle Init	Last Name	Address1	City	State
145820001	John	M	Smith	401 Atrium Drive	Somerset	NJ
145820002	Jill	A	Jones	402 Atrium Drive	Somerset	NJ
145820003	George	D	Miller	403 Atrium Drive	Somerset	NJ

View Error Messages

Click SAVE to store template or NEXT to save and continue

Save Next Cancel

Error message after data validation

Fields

- All fields can be edited on this screen by clicking on the field.

Screen Options

- Click **Next** after correcting errors to re-validate and save (if there are no errors).
- Click **Cancel** to return to the File Browse screen.
- Click **View Error Messages** to open the Error Messages screen.

Error Message Details Screen

Error Messages

Batch: Loans **Payroll Date:** 2010-08-08
Batch Name: 08-08-2010 **Payroll Seq:** 1

Error messages are displayed in red while warning messages are displayed in blue.

SSN	Name	Error Message
111222333	PARTICIPANT, JOE	LN00255E - Interest to apply + LH333 exceeds LH330

Select the DONE button to close this window.

Select the PRINT button to print the error messages.

Error Message details

This screen opens in a new window to display the errors from the imported file. Use these messages as a guide to errors. They can be corrected by clicking in the field and typing directly into it.

Screen Options

- Click **Done** to close the Error Messages screen.
- Click **Print** to print these errors.

Error Messages

Validations and corresponding error messages include:

Error Message	Validation	Notes
"Batch Total Must Be Greater Than Zero"	Verify that the total contributions in the file are greater than zero.	Total contributions must be greater than zero.
"Loan number cannot exceed 3 digits"	Verify that <field> is <number> digits.	Add lead zeros if loan number is less than 3 digits.
"Loan payment amount should be equal to the expected amount or a multiple of the expected amount"	Appears if Loan Matching is enabled in the Admin section and loan amount is not equal to the payment amount or is not a multiple.	The error message will display the column heading.
"xx-xx-xxxx - Social Security number must be 9 digits."	Verify that the SSN has nine digits.	SSN is not nine digits.
"xxx-xx-xxxx- Participant Social Security number not found."	Verify that the SSN exists in the plan.	Appears if the SSN not in the recordkeeping system.
Example "<Field> cannot be negative"	Verify the amounts do not have negatives or parenthesis.	The error message will display the column heading.
Example "<Field> is limited to two decimal places"	Verify that the dollar amounts do not have more than 2 decimal places.	The error message will display the column heading.
Example "Error in column 4: <Field> already exists"	Verify that the same column heading has not been selected twice.	The error message will display the column heading and the expected length.
Example: "Select heading for column 2"	Verify that column headings have been selected.	The error message will display the column heading number.

Verification Screen

This is the final step in importing the file. No further changes will be allowed after this screen.

Screen Options

- Click **Finish** to submit the participant data. This may take a few seconds.
- Click **Cancel** to return to the Browse File Screen.

Confirmation Screen

This screen confirms that the participants in the imported file have been successfully added. Click **Done** to return to the Welcome screen.

Troubleshooting Common Issues

- Contribution/loan repayment submissions cannot be “scheduled;” the submission is done in real time (this may be an issue if you are going on vacation, for example).
- If a participant is being enrolled online, then an Enrollment Form should not be used; rather, the participant’s contributions will be invested in the plan’s default investment until such time as either a Change of Investment Elections form is submitted or the participant changes investment elections online or by telephone.
- If enrolled online, and the plan’s default investment is the suite of Retirement Date funds, the plan sponsor will receive an error message when trying to submit a contribution for that person. The solution is to notify the Program via e-mail to update that person’s investment elections with the appropriate Retirement Date Fund for his or her age. The contribution can then be processed and the participant will always have the ability to change investment elections going forward.
- The plan sponsor will receive an error message at the participant level if trying to submit 401(k) contributions for someone whose deferral limit has already been met.
- If a manually entered batch is locked in “Open” status (as opposed to “Ready to Post” or “Ended with T-Post Errors” status), this occurs when the batch is saved. To submit the batch, select the batch and click the **Edit** button. Once you’re in the batch, select **Next** and the batch should be “Ready to Post” or “Ended with T-Post Errors.” To avoid the batch going to “Open” status in the future, do not save the batch but select **Next** instead.
- If submitting Roth 401(k) contributions as well as traditional pre-tax 401(k) contributions, they should be processed in separate contribution batches. This is also the case for catch-up contributions (submit in a separate batch).
- Participants who are “rehired” will not appear as a regular active participant in the list of participants. To address this, uncheck the box labeled “Display Active Participants Only.”
- Participants with a terminated status will not appear as a participant in the list. To address this, uncheck the box labeled “Display Active Participants Only.”
- Care should be exercised when submitting contributions for a prior year in order to ensure that the proper “Payroll Date” is showing (for example, when sending 2013 contributions in 2014, the Payroll Date should be 12/31/2013).
- If an error message occurs, or if a batch contains an error, please send Voya an e-mail or call (800) 752-6313 to indicate the exact error message you have received. It would also be helpful to include any other pertinent information, such as participant data, amounts, sources and payroll dates.

System Security

Summary

Our Internet security strategy protects corporate and customer assets from unauthorized access at all times and monitors activities of both insiders and outsiders to ensure that customer data is protected from Internet abuse. In recognition of the fact that the Internet is a fast-changing environment and new threats are always emerging, we contract with outside firms for scheduled and as-needed security audits of our Internet security architecture and implementation.

Security Design

All Internet servers are protected by firewalls. The firewalls support a configuration commonly referred to as a "DMZ." This configuration lets the firewall permit service requests from the Internet to the DMZ and from the DMZ to internal databases. No databases are located in the DMZ. Secure connections using 40 or 128-bit encryption are available.

All servers in the DMZ, both UNIX and NT, are configured according to a standard process that certifies the machines as "production ready" and secured to a standard acceptable to our Corporate Audit department. The certification process enables controlled monitoring of the servers and logging of system administrators' activities to a centralized log server.

The firewalls themselves are similarly configured. They are monitored and secured according to a certification process customized for firewalls. Today, all firewalls run on UNIX servers that can support up to 16 Ethernet or Fast-Ethernet interfaces. Switches are used in DMZ rather than shared-media hubs, as switches provide not only dedicated access, but also would prevent a compromised machine from being able to "sniff" packets to/from the other machines in the LAN.

Firewall oversight includes 7x24 monitoring of firewall administrative activity (largely the loading of new rule bases) and events logged by the server management processes.

Security Monitoring Controls

The Certification Process

The Certification process is the first step in the process of security monitoring controls.

Certification starts with the configuration of a server for its specific purpose. As the operating system is installed, processes are enabled or disabled. In general, UNIX servers "out-of-the-box" will run any service and have a number of standard accounts set up. The certification process strips the machine down to its bare necessities: required daemons, a cleaned-up version of sundial, minimal, if any, trust relationships to other machines, and deletion of standard user IDs. NT servers are handled similarly at the operating system level, the goal being to run only what is needed and with the latest security patches installed from the start.

Monitoring processes are then installed that will enable 7x24 monitoring of the server's important processes. In the case of Web servers, the http daemon would be monitored. Each server is supported by on-site and on-call staff identified prior to the server being placed in production. At the top level is the application "owner," who is responsible for investigating unusual or suspect application problems or activities.

Intrusion Detection

Voya Financial uses intrusion detection software and has intrusion detection engines in all of our North American Internet access points and DMZ. Alerts are generated to monitoring systems and, depending on the severity, an investigation is begun or remedial action started. We receive updated attack patterns

approximately every quarter and sooner if a dangerous attack is released. Intrusion detection is not virus detection, which is handled by the LAN departments. Intrusion detection is a supplement to stateful packet inspection in that it can inspect across multiple packets and into the data portion of a packet.

Intrusion detection is emerging as a powerful security function and we expect to continue to expand the service to other [non-Internet] access points to our network and to use its more advanced remedial action features to respond to network-launched attacks.

Vulnerability Scans

We contract with a top Internet security firm to run vulnerability scans against all firewall interfaces facing the Internet. Scans are run quarterly and reports are presented within a few weeks of the scans.

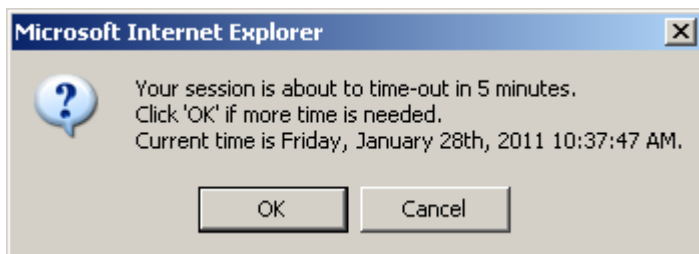
We also use a commercial product to run our own internal scans and publish Web-readable reports for management and audit reviews. The most significant purpose of the internal scan is to confirm that new firewalls were installed per the certification standard and as a check against new vulnerabilities in previously installed firewalls.

Firewall Log Analysis

Our firewalls are under the auspices of the security certification process. This enables system activity to be logged and reviewed in a timely manner. In addition, this review is conducted independently of the firewall design and installation processes. This separation of duties functions as a control point over the network engineering departments involved in planning, deployment and support.

Session Timeout

The login session will expire after 30 minutes of inactivity. After 25 minutes, the following message appears:



Click **OK** to continue working or **Cancel** to allow your session to expire