OMNI
Solutions for Retirement Services

DVW Sponsor Portal Workbook

Ameritas

1

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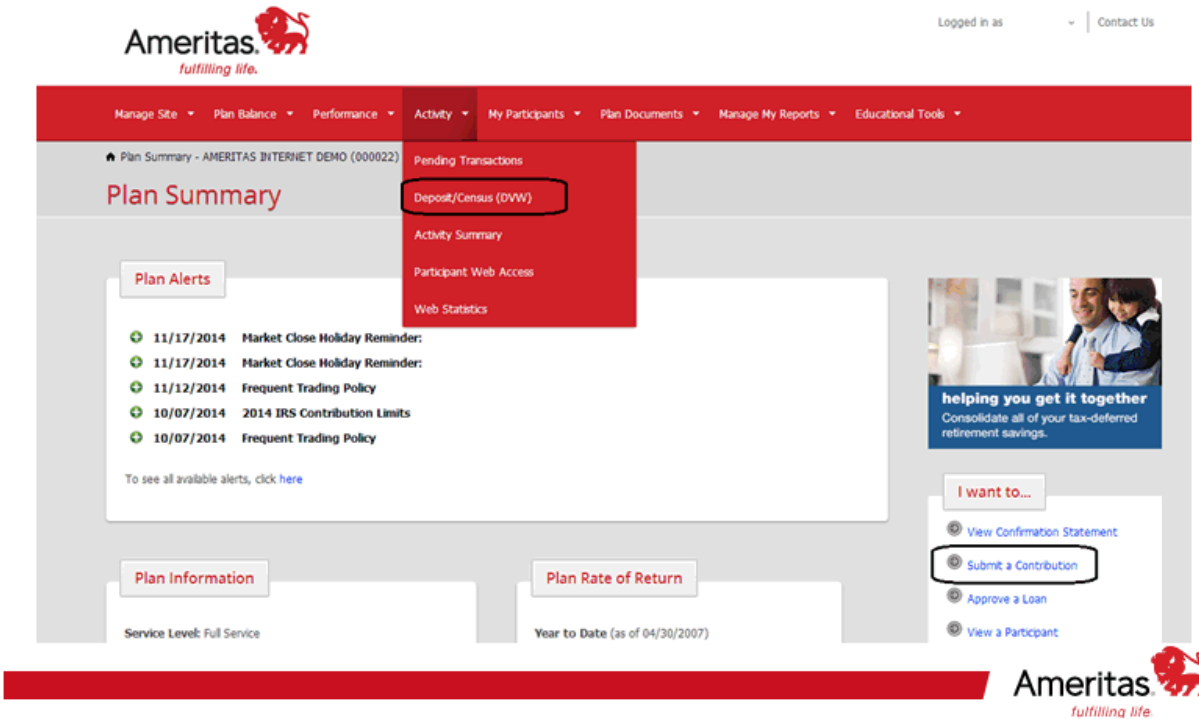
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# Table of Contents

How to access DVW

There are 2 convenient ways to access DVW from the Plan Summary Page.
1. Select Deposit/Census (DVW) for the Activity dropdown.
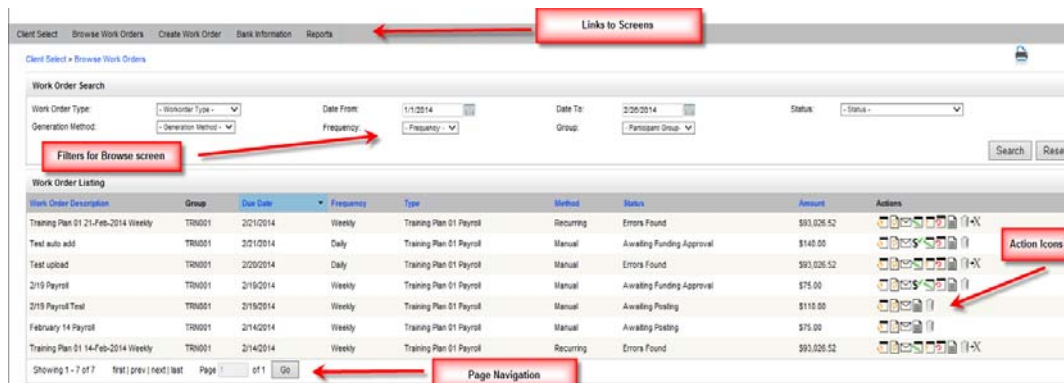2. Select Submit a Contribution from the I want to... quick links.

Select Client

1. Click on Client in client list. If you have access to only one Plan , you will be directed to the Work Order Browse is the landing page upon login.
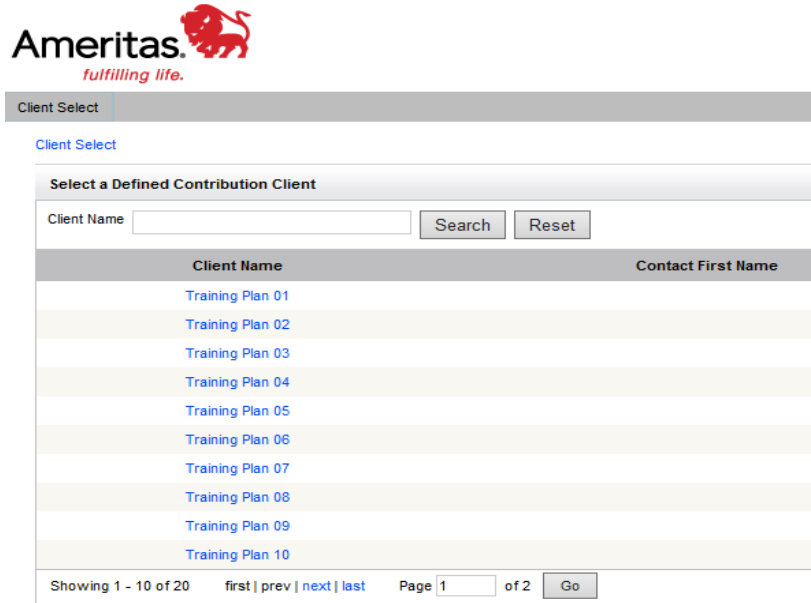
View Browse Screen

2. Links to Screens.
3. Filters to search for a work order.
4. Status and Action Icons for work orders.

Work Order Scenarios

Scenario One: Manually Populate a Work Order

In this scenario, we will manually populate a Work Order that has not already been set up for recurring processing.

1. Click Create Work Order link.
2. Click Add a New Blank Work Order.
   a. Enter information for new Work Order, and press the **Create** button.

3. Click Browse Work Order.
4. Click **Begin Entry** button.

5. Enter information on **Common Data** tab
   a. Enter invalid SSN to create critical error. **If you enter the correct SSN you will not receive an error to correct. This scenario will show you what to do if you get an error**
   b. Click **Save** button.

6. Review errors and correct data.
7. Enter information on **Address** tab.

8. Enter information on **Dates** tab.

9. Enter information on **Contributions** tab.

10. Click **Save** button.
11. Press **View Totals** button.
    a. Press **OK** when finished.

12. Click **Complete**, and then **Submit.**
    a. Expand Work Order heading for more information.

Work Order: Weekly 2/15/2014 Training Plan 01 Payroll

Work Order ID: 1325
Work Order Sequence: 1
Work Order Type Description: Scenario One
Participant Group(s): TRN001
Frequency: Weekly
Generation Method: Manual

Start Date: 2/9/2014
End Date: 2/15/2014
Due Date: 2/15/2014
Status: Awaiting Light Validation
Amount: $165.00

13. Click Browse Work Orders.
14. Click View and Approve Funding.

Source	TRN001 WorkOrder Total	TRN001 Forfeiture Credit
Employee Salary Reduction	$110.00	0.00
Employer Match	$55.00	55.00
ROTH Deferral	$0.00	0.00
Employee Voluntary	$0.00	0.00
Loan Repayments	$0.00	
SUBTOTAL:	$165.00	$55.00
TOTAL:	$165.00	
FORFEITURE CREDIT:	$55.00	
FUNDING TOTAL:	$110.00	

Non-Financial Summary	
Participant Count	2
YTD Compensation	$0.00
Hours of Service	0.00

Bank Information	
Bank Account:	Bank of Oklahoma-xxxxxxxxxxxx6445 [Default]

[Reject] [Cancel] [Approve]

    a. Click Approve.
   b. Go to Work Order Detail.

Scenario Two: Populate With Recordkeeping Data

This option will add a spreadsheet of data pre-populated with data from the recordkeeping system.

1. Click Create Work Order and then Add a New Blank Work Order.
2. Click Begin Entry from Browse Work Order or Work Order Detail screen.
3. This client has been set up with a default entry method of Manual Data Entry. The entry method will need to be changed Prepopulate. Click Change Entry Method button.
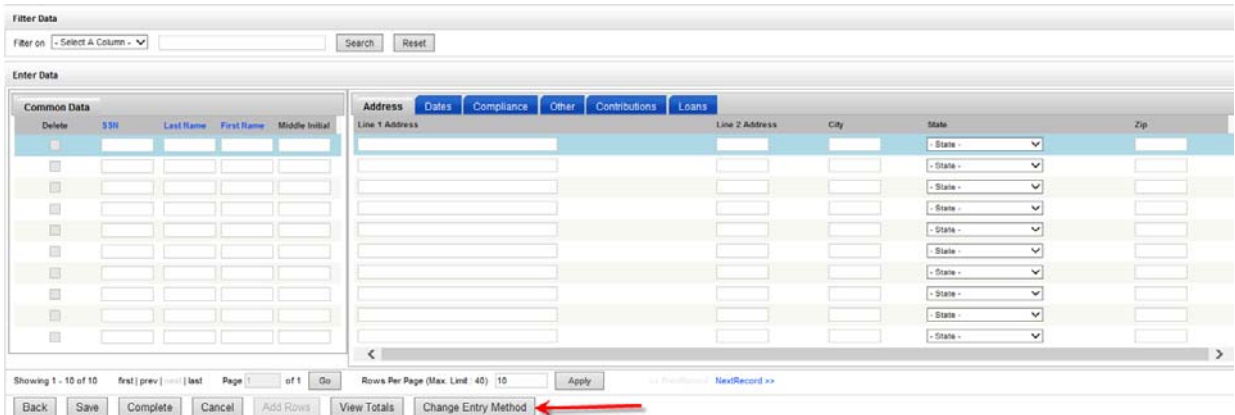

4. Click Prepopulate with Recordkeeping Data.
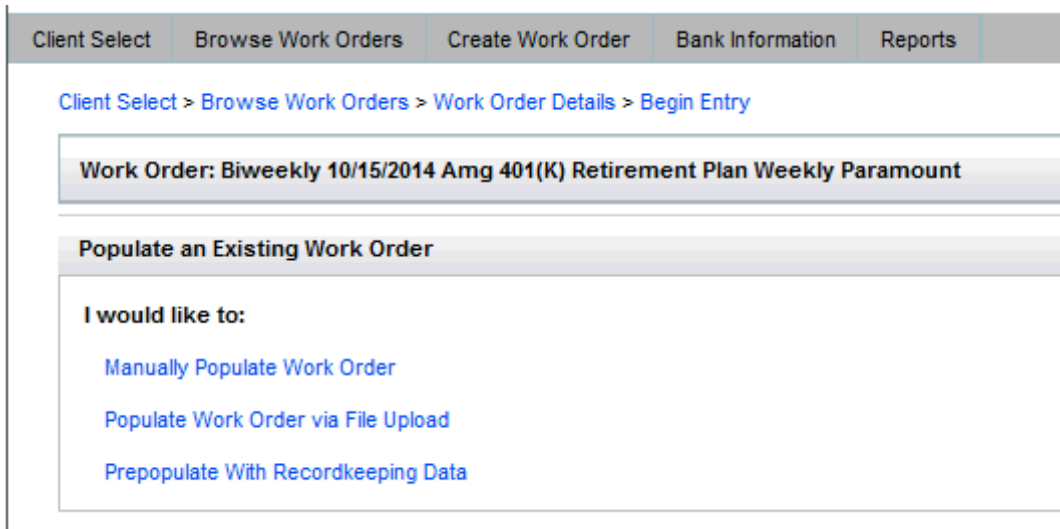
5. Once this message appears, the system has begun loading data from the recordkeeping system.
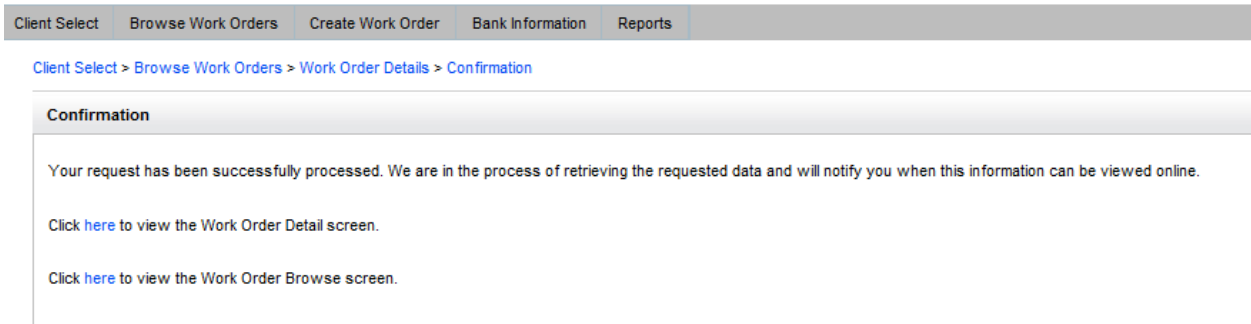
6. Go to the **Work Order Browse** screen. The status for this Work Order will be in Loading. When it changes to "InProcess" or "Errors Found", the data has been loaded. For this scenario, the work order status should be in Errors Found. Choose the **Correct Errors** button.

7. Update the Date of Hire field. Click the **Save** button.
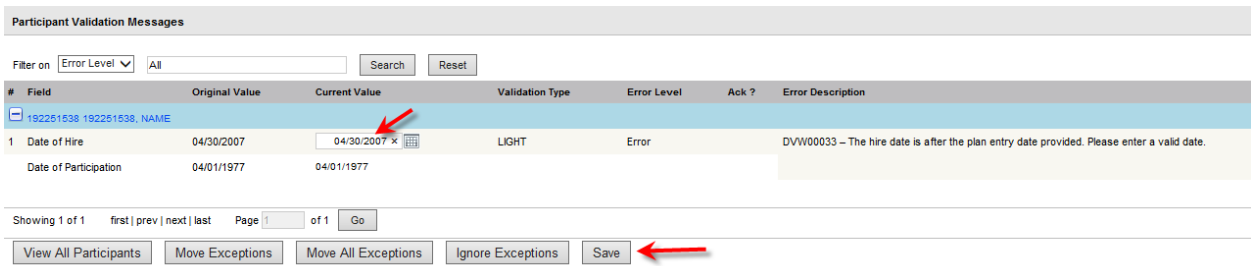
8. Navigate to Edit Data screen.
9. Update the spreadsheet. Update Salary Reduction field and ER match field for first two participants.
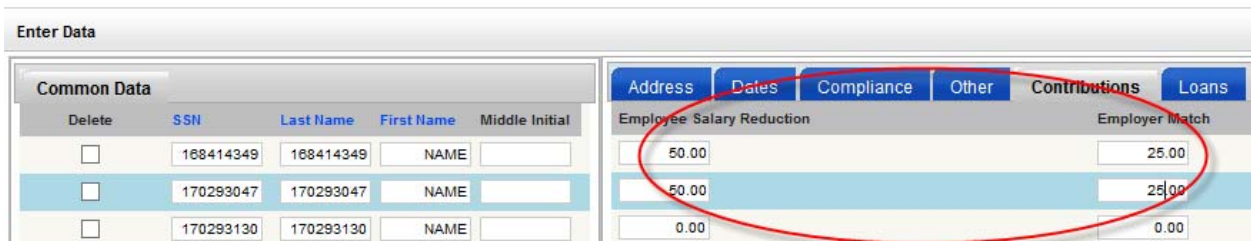
10. Press **Complete** when finished.
11. Note: Press **Save** if you would like to save your work before you are ready to press **Complete**.

12. Review the summary screen, and press the **Submit** button to continue.

Summary

Please verify the information displayed below. If it is correct, click Submit

Financial Summary		Non-Financial Summary	
Employee Salary Reduction	$100.00	Participant Count	156
Employer Match	$50.00	YTD Compensation	$0.00
ROTH Deferral	$0.00	Hours of Service	0.00
Employee Voluntary	$0.00		
Loan Repayments	$1,830.87		
Total :	$1,980.87		

Back Submit Cancel

13. If no errors are detected, the Work Order's status will change to "AwaitingFundingApproval". Press **View and Approve Funding.**
14. Approve funding to continue.
15. If errors are detected, the Work Order's status will change to **Errors found**. Correct the errors, then select **Submit** and continue.
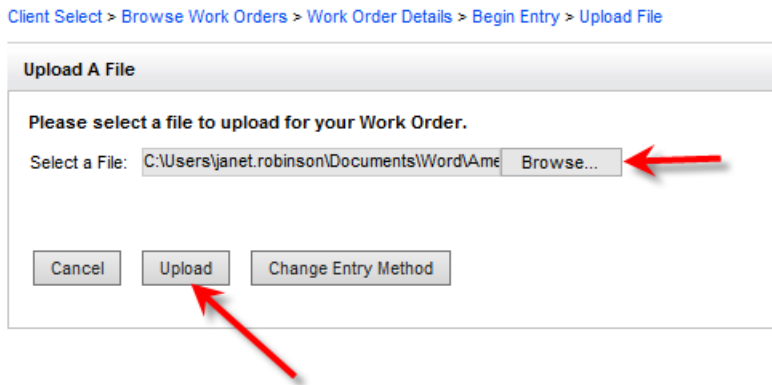
Scenario Three: Populate Work Order via File Upload

This scenario will load data from an external file.

1. Click Create Work Order, and then Add a New Blank Work Order.
2. Click Begin Entry from Browse Work Order or Work Order Detail screen.
3. Select Change Entry Method button.
4. Choose Populate Work Order via File Upload.

5. Browse to "TRN001" and press **Upload** button.

6. Go to Work Order Browse screen.

a. Initially, this new work order will be listed as "Loading" on the **Work Order Browse** screen.

Client Select > Browse Work Orders > Work Order Details

Work Order Detail

Work Order ID: 1360
Work Order Sequence: 2
Work Order Type Description: Scenario Four Upload
Participant Group(s): TRN001
Frequency: Weekly
Generation Method: Manual

Start Date: 2/15/2014
End Date: 2/21/2014
Due Date: 2/21/2014
Status: Loading
Amount: $0.00

Work Order Activity Status

Work Order Activity Name	Activity Start Date	Performer
Initiate Work Order	2/28/2014 1:54:00 PM	Robinson, Janet (JRTEST)
Initiate Payroll	2/28/2014 1:54:04 PM	Robinson, Janet (JRTEST)
Work Order Entry	2/28/2014 1:55:00 PM	Robinson, Janet (JRTEST)
Initiate Payroll	2/28/2014 1:55:55 PM	Robinson, Janet (JRTEST)
Work Order Load	2/28/2014 1:59:15 PM	N/A

b. Once the status for this file changes to "ErrorsFound", click the Correct Errors button.

7. This work order has errors that we will move to an exception work order to research later.
8. Provide reason for moving to an exception work order and click **OK.**

Move Exceptions

Move Exception Reason: Research later   ×
Due Date: 3/1/2014

OK   Cancel

9. Click the **Complete** button.
10. Click **Submit.**

11. View the Exception Work order. Since the due date is in the future, the Date To on the Browse. screen will need to be changed to future date. Then select the **Search** button.

12. Select the View Data icon on the Exception Work Order. Notice only the two participants with errors are in the work order.

Scenario Four: Add New Participants

1. After data from prepopulate, copy or upload has been loaded to DVW, new participants can be added. Blank rows will be available on the last page of data.
2. Navigate to the last page of data by selecting the **next** link or by entering the last page number and selecting the **Go** button.

3. Blank rows will be available for adding new participants.

4. Add data to the blank rows and then select the **Save** or **Complete** button. If more rows are needed, select the **Add Rows** button.

Scenario Five: View Banking Information

In this scenario, we will view the banking information on file. This information will be used when a client is set up with the ACH debit method for funding.

1. Select Banking Information Link.

2. View Banking information.

3. Note that some users will not be able to update banking via DVW. For these users the Edit link under Action will be grayed out. Users with roles such as Plan Sponsor Master will be able to update banking via DVW. Their Banking Information screen will look like this:

Scenario Six: Generate Report

In this scenario, we will generate a report from the DVW Sponsor Portal.

1. Select Reports Link.

2. Select report and value report parameters.

3. View report online. Report can also be downloaded into various formats.

Scenario Seven: Generate a Feedback File

In this scenario, we will generate a feedback file.

1. Select **Create Work Order** link.
2. Select **Add a Blank New Work Order** link.
3. In the Client Work Order Type Name field, select Feedback File.

4. Code Start and End date using 1/1/2013 to 12/31/2013 to pull data for this scenario. The start and end dates are important and are used by the Recordkeeping to pull data from the Omni environment.
5. Select the **Create** button.
6. Initially the work order will be in New status.

7. When the file from Omni has been received, the work order status will change to Complete and a download icon will be available.

8. Select the **Download** icon or the **Download** link. You will be presented with the page below. Select the **Generate File** button.
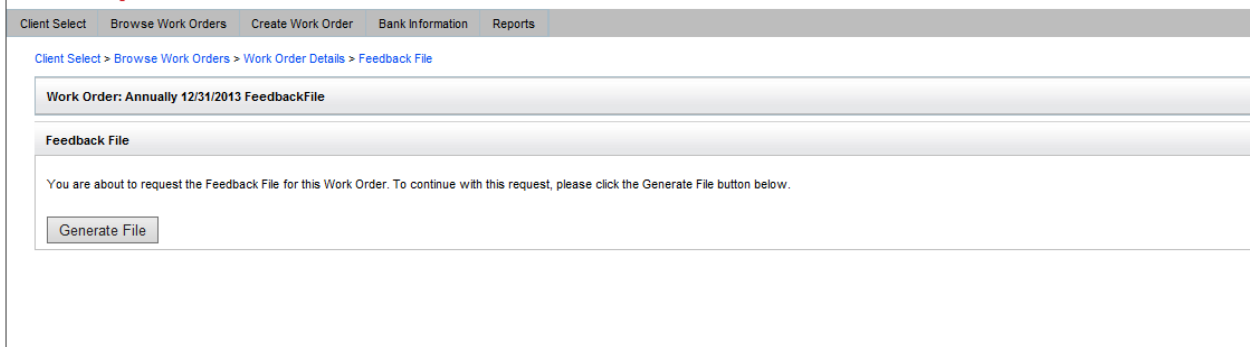
9. After you select the **Generate File** button, you will receive this confirmation screen. Click on the **here** link.
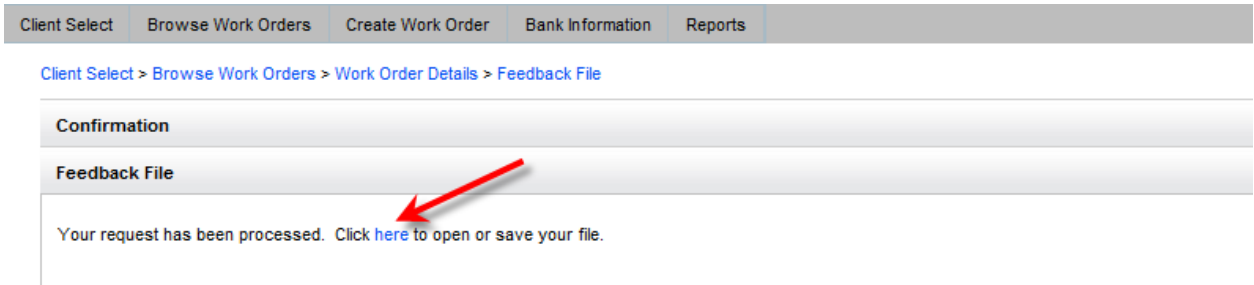
10. After you select the **here** link, you will be given an option to open or save the file. Click on the **Open** button.
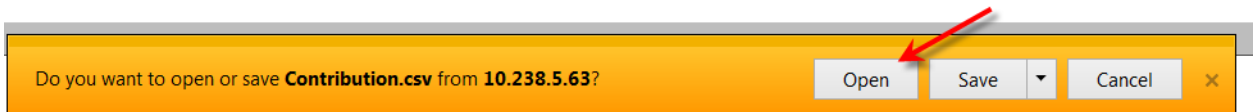
11. A new window with an Excel spreadsheet will open with the data requested.

	A	B	C	D	E	F	G	H	I	J	K	L
1	Plan	RunDate	RunTime	Source	Source Na	Amount Re	Deducted-	Avail. Rese	Net Contri	Posted To	Held In Reserve	
2	TRN001	1/11/2013	1944	A	EMPLOYEE	5,807.55	0	0	5,807.55	5,807.55	0	
3	TRN001	1/11/2013	1944	B	ROTH DEFI	548.52	0	0	548.52	548.52	0	
4	TRN001	**Total**				6,356.07	0	0	6,356.07	6,356.07	0	
5	TRN001	1/25/2013	1939	A	EMPLOYEE	6,056.88	0	0	6,056.88	6,056.88	0	
6	TRN001	1/25/2013	1939	B	ROTH DEFI	494.08	0	0	494.08	494.08	0	
7	TRN001	**Total**				6,550.96	0	0	6,550.96	6,550.96	0	
8	TRN001	2/8/2013	1957	A	EMPLOYEE	5,516.56	0	0	5,516.56	5,516.56	0	
9	TRN001	2/8/2013	1957	B	ROTH DEFI	519.65	0	0	519.65	519.65	0	
10	TRN001	**Total**				6,036.21	0	0	6,036.21	6,036.21	0	

<u>Glossary</u>

<u>Create a Work Order</u> - The Sponsor Portal user can create a work order to submit data for a non-recurring event, such as a quarterly rollup match, or an annual profit-sharing contribution.

<u>Data Validation Web DVW</u> - is a payroll, employee maintenance, and census data submission tool which increases the operational efficiency of administering retirement plans. DVW automates some of the more inefficient and expensive bulk data processing tasks. This is accomplished through a customizable processing system which employs easy-to-use web-based user interfaces and pre-defined processes to streamline the data collection processes. DVW enables plan sponsors to submit, validate and correct any issues found in contributions, loan payments, insurance premiums, census information, participant indicative information or other administrative data online. DVW validates the data against rules and identifies data with problems or inconsistencies. Payroll files submitted in good order may be consumed, processed and posted to the recordkeeping system without any further Recordkeeper intervention. Files that do not meet these standards generate email notifications for error correction.

<u>Dates</u>

> **<u>Start Date</u>** – Beginning of the effective date range of your payroll cycle.
>
> **<u>End Date</u>** – Ending of the effective date range of your payroll cycle.
>
> **<u>Due Date</u>** – The date DVW sends the data to the host recordkeeping system for posting and trading if financial transactions exist and funding has been approved by 1:00 pm ET the day before.
>
> **<u>Days Prior to Due Date</u>** – The number of days prior to the Due Date a Work Order will be generated and the client is notified a new Work Order exist.
>
> **<u>Funding Days Prior to Due Date</u>** – The number of days prior to the Due Date funding needs to be sent (wire or check) so the Work Order is applied on the Due Date.

<u>DVW Administration Portal</u> - allows administrative users to configure the DVW application at the system/tenant and client levels. Within the DVW Administration Portal, the user can configure user permissions, DVW light and host recordkeeping validation overrides, Work Order types and screens, clients, client specific Work Order templates, and custom fields and status label overrides. The DVW Administration Portal can be accessed by internal users only.

<u>DVW Sponsor Portal</u> - allows plan sponsor users and internal users to perform daily activities related to data collection, validation, correction, and funding. Within this portal, authorized users can view historical data submissions and make changes or corrections to open activities. This portal is sometimes also referred to as the User Portal.

<u>Work Order Browse</u> screen allows users to track and manage their work orders by providing a view of all permissible work orders at all stages of the process.

<u>Work Order Detail</u> screen provides additional information about, and actions for, each individual work order, according to configuration and the individual user's permissions.

<u>Delete Work Order</u> functionality allows authorized users to delete Work Orders if necessary.

<u>Initiate Files</u>

Manually Populate Work Order - The sponsor has the ability to enter data into various tabs and fields configured for the screen. The Sponsor Portal user can create a work order to submit data for a non-recurring event, such as a quarterly rollup match, or an annual profit-sharing contribution.

Populate Work Order via File Upload - Users may initiate data files by uploading a file to the DVW application in a predefined format.

Prepopulate With Recordkeeping Data - Loads data into the Work Order by requesting a download of eligible participants from the Recordkeeping system.

Validation History Browse - screen allows a user to access past host validation messages for a Work Order by the date and time they were run. This functionality allows the users to track the history of errors within the Work Order for the purposes of tracking issue resolution and user training needs.

Feedback File functionality provides the sponsor with information regarding changes to processed data that will impact future incoming files and which may need to be communicated to the payroll vendor.

Bank Information screen provides the ability to view the banking information stored in the recordkeeping system for a particular Client.

Reports

Work Order Type Summary Report - This report provides summary data for all Work Orders by type processed.

Work Order Detail Report - This report provides data about Work Orders that are complete or in process for a given date range. The report displays columns for Client, Work Order Description, Work Order Type, Work Order Frequency, Initiation Method, Date Initiated, Due Date, Funding

Requested Date, Uploaded Date, Upload Duration, Financial Total and Current Status. Separate subtotals are provided by Generation Method and by Status.

Submission Method Report - This report provides a summary of all files submitted by method and work order association for the reporting period.
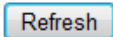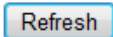
Late Work Order Report - This report provides a list of work orders that are past due or at risk for becoming past due as of the reporting date.

Electronic Submission Exception Report - This report lists the files that could not be associated to a work order. Once associated, the work order would not be listed on the report.

Common Host Validation Errors Report - This report lists the five most common host validation errors that are generated in a given date range for a specified plan or plan group. The report will detail the work order names and types that included the errors, along with the number of error occurrences.

Icon Descriptions

Available Actions	Icon
Begin Entry/Edit Data	
View Work Order Details	
View Notifications	
View Data	
Reset	
Correct Errors	
View Validation History	
View and Approve Funding	S✓
Download Work Order (Feedback Files only)	↓
Delete Work Order	
Reinstate Work Order	
Request Extract (Census)	
Request Export	→X
Upload File	↑X
Download Work Order File	↓X
Additional Actions	**Icon**
Font Increase/Decrease	▲A
Print Options	

Current Status		What should I do next?
New		Choose "Begin Entry" to process your contribution.
Loading	Refresh	The system is currently loading the requested data. Refresh occasionally until the status changes.
Awaiting Light Validation	Refresh	The system is currently validating the data provided. Refresh occasionally until the status changes.
Awaiting Host Validation	Refresh	The system is currently validating the data provided. Refresh occasionally until the status changes.
In Process		• Go to "View Data" to review the data for each participant. You cannot make any changes on this screen. • Go to "Edit Data" to review and update the data for each participant on the work order or add additional participants. • Choose "Request Export" to download the participant data into Excel.
Ready for Upload		• Choose "Download Work Order File" to open the exported file in Excel. • Choose "Upload File" to import the edited data back into DVW.
Errors Found		• Go to "Correct Errors" to see only the participants that have errors and correct their data. • Go to "Edit Data" to see the information for all participants; the participants with errors are indicated by an asterisk.
Awaiting Funding Approval	$✓	Choose "View and Approve Funding" to review the totals and submit the work order for funding via ACH or check.
Awaiting Posting		The system will process the payment that has been submitted. If payment is made via ACH it will process overnight. If payment is being made via check, please mail it for the amount of the funding total.
Any status		Choose "Reset" to bring the work order back to a new state. If you choose this option you will lose any progress made on the task.
Completed		This work order is complete and no further action is required.