FASCore Documentation

FUNCTIONAL PROCESS: Plan Service Center
PROCEDURE: PDI Support
DATE: September 2008

Overview

These procedures provide information about the Payroll Data Interchange (PDI) file and outline the process for obtaining assistance with PDI file changes once a plan is out of conversion.

Procedure

I. PDI Basics
   A. A PDI file is used to transmit data from the client to FASCore via the Plan Service Center. The PDI file contains indicative data such as name, address, and relevant dates, payroll data such as contributions and loan repayments and information required for vesting and compliance testing.
   B. PDI file formats
      1. A payroll provider will use an ASCII file. (American Standard Code for Information Interchange). They typically provide a file that is a fixed format. – See sample entitled “PDI File Layout – Fixed”
      2. If creating a PDI file in Excel, the file is limited to 240 characters.
      3. If the employer is creating their own file, they can save the file as a comma delimited or “CSV” file to circumvent the excel file limitation – See sample entitled “PDI File Layout - CSV”. Please note there are 2 tabs within this file.
      4. Note regarding the format of deferral percent: The system can accept decimal places, although the format on the file shows whole numbers only.
         a. Deferrals are only required when FASCore is providing deferral recordkeeping.
         b. Deferrals will generally only be sent for a deferral seed file. Ongoing deferrals will not be updated using the PDI file. They will be updated by the participant or plan sponsor via the website, VRU, or Plan Service Center.
         c. If sending decimals, ALL deferral fields must be formatted the same. For example, 12% must be sent as 12.0%.
   C. Data requirements
      1. Full PDI file – all fields is the goal
      2. Fields are used for different purposes
      3. Certain fields may indicate “optional”, but to maximize services to be used, all fields should be provided

4. General categories for use of data:
    a. Employee Data and Employment History
    b. Vesting Services
    c. Contribution Processing
    d. Online Enrollment, Automatic Enrollment & Deferral Recordkeeping
    e. Year End Testing
5. The Field Analysis Checklist can be helpful in determining which fields are required for a plan. – See sample entitled "PDI Field Analysis"

D. PDI mapping
1. The client and/or AE must initiate contact with Plan Technical Support to send a test file for processing.
2. Once a PDI file is submitted to FASCore, an "FSET" is created that maps the fields on the PDI to the fields on the FASCore system.
3. FSET means **<u>F</u>**ile **SET** up.

II. Plan activity that results in modifications to the PDI file

A. Plan Amendment changes
1. Adding catch up contributions - PDI change is required if regular contributions and catch up contributions are tracked separately on payroll.
2. Adding new money type where contributions will be submitted via PDI file i.e., Roth.
3. Modifications to vesting method i.e. adding actual hours worked.
4. Adding loan provision – loan payment must be added to file.
5. Mergers
    a. A new division number may need to be added to file.
    b. A new PDI file may be required for a new division. This would result in the client having a PDI file for each division. This is only necessary if the new division will be using their own bank account for contributions.

B. Non-amendment related changes
1. Adding divisions – once division information has been added to ISIS, division number must be added to the PDI file.
2. Adding online enrollment or deferral recordkeeping.
    a. A seed file must be provided to load current deferral elections onto ISIS – if the current deferral elections are in the current PDI file, FASCore can use the PDI file in lieu of a seed file.
    b. Eligibility Code and Participation Date must be added to the PDI file.
3. Adding data not previously provided, such as home phone number, annual salary information or compliance related information such as officer determination.
4. Changing payroll providers or payroll systems. Typically a new PDI file is created.

5. PDI file changes are not required when adding/deleting/changing the authorized PSC user to upload PDI files. Call Plan Technical Support to make this change. If a new PSC login is needed the Client should complete the PSC Login form. When the new login is setup contact PTS to add the user to the PDI file upload.
6. PDI file changes are not required when adding/deleting/changing the PDI file name to be uploaded. Call Plan Technical Support to request this change.

III. Requesting assistance

A. All PDI file changes

1. The client and/or AE must initiate a call to update their PDI file set up.
2. The client and/or AE will need to contact Plan Technical Support (PTS) directly to have new field on PDI file mapped.
3. PTS will make the designated mapping changes and confirm that the requested data is on the file.
4. If there are outstanding items at the end of the call (i.e. formatting), PTS will provide the 1-800 number and their name as reference for subsequent file uploads. This is to ensure that the same PTS analyst completes the process with the Client. Until the new file is complete, the plan may not be able to process a payroll.

B. Performing a PDI "audit" to verify data mapped and included on the PDI

1. The Participant Data File can be run from the PSC to verify the data that is being processed in the PDI file.
2. The employer should review the data for any missing data (birth dates, hire dates, defaulted addresses) and update the PDI file. The PDI file will update the recordkeeping system upon the next upload.
3. Plan Technical Support should be contacted if there is any data that is being submitted via the PDI file and is not being mapped to update the recordkeeping system.

IV. Additional support tools

A. If a Plan is utilizing FASCore Compliance Services and has multiple payroll centers, it would be helpful to maintain the same data on all PDI files. This will help eliminate missing data on the Year End Census File.

B. When a Client processes a PDI file, certain fields are validated during the update process.

1. The fields validated depend on what fields have been mapped.
2. Error or warning messages are provided to assist the Client in understanding the problems.
3. The messages generate a report and the individual processing the payroll receives an email that a report has been generated.
4. Samples of the types of messages generated in the report are included in the "PDI Client Messages."

C. When the FSET is set up for a plan, the default allocation will be used.

1. Each plan has selected a default investment for participants that have incomplete allocation information.
2. When a participant is added to the recordkeeping system via a file upload, they will be placed into the plan’s default fund.
3. This only occurs when a new participant is added via the PDI file.