FASCore *Documentation*

FUNCTIONAL PROCESS: Plan Support Services
PROCEDURE: Order Automated Audit Packages
DATE: February 2013

Overview

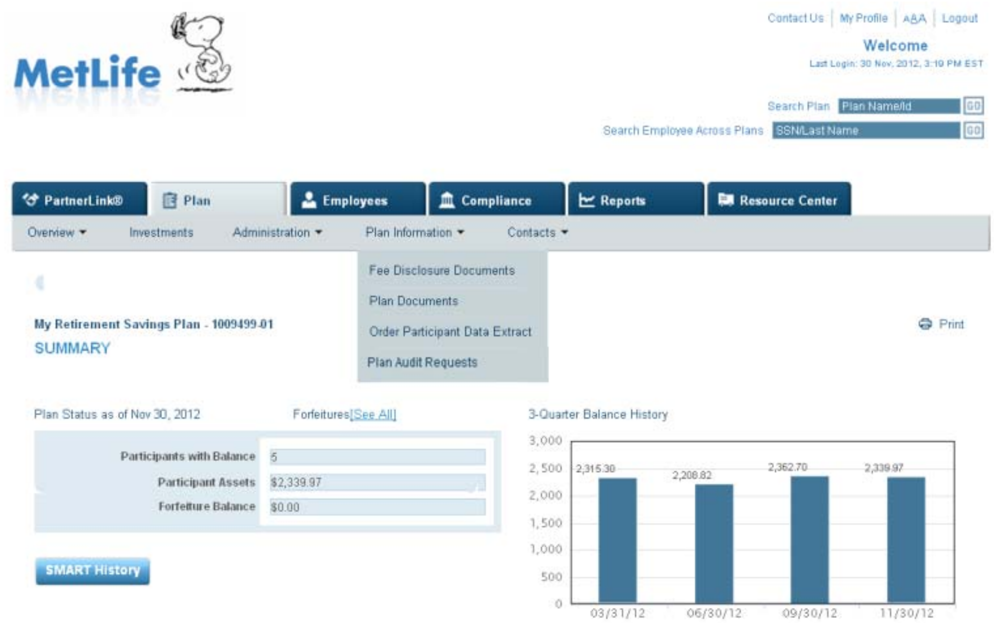
PSC and PL users can request an audit package and have it delivered to multiple receivers within the same order request. The ordering process takes only a few minutes and within an hour of requesting an audit package, a secure email will be sent to the requestor with instruction on where to retrieve their audit package. Documents can be saved to the receiver's personal computer or printed and will remain accessible via the same URL for 30 days thereafter. The audit package contents have not changed. They include:

- Annual Plan Summary Report which summarizes plan activity detail into comprehensive sections based on the transaction type for the reporting period.
- A Certification Letter confirming all information provided in the audit package is accurate and complete.
- The SSAE 16 Independent Service Auditor's Report on Management's description of the Service Organizations system and the suitability of the Design and Operating Effectiveness of Controls.
- How to Read your Plan Summary Guide.
- An Audit package guide.
- Additional Audit documentation request form.

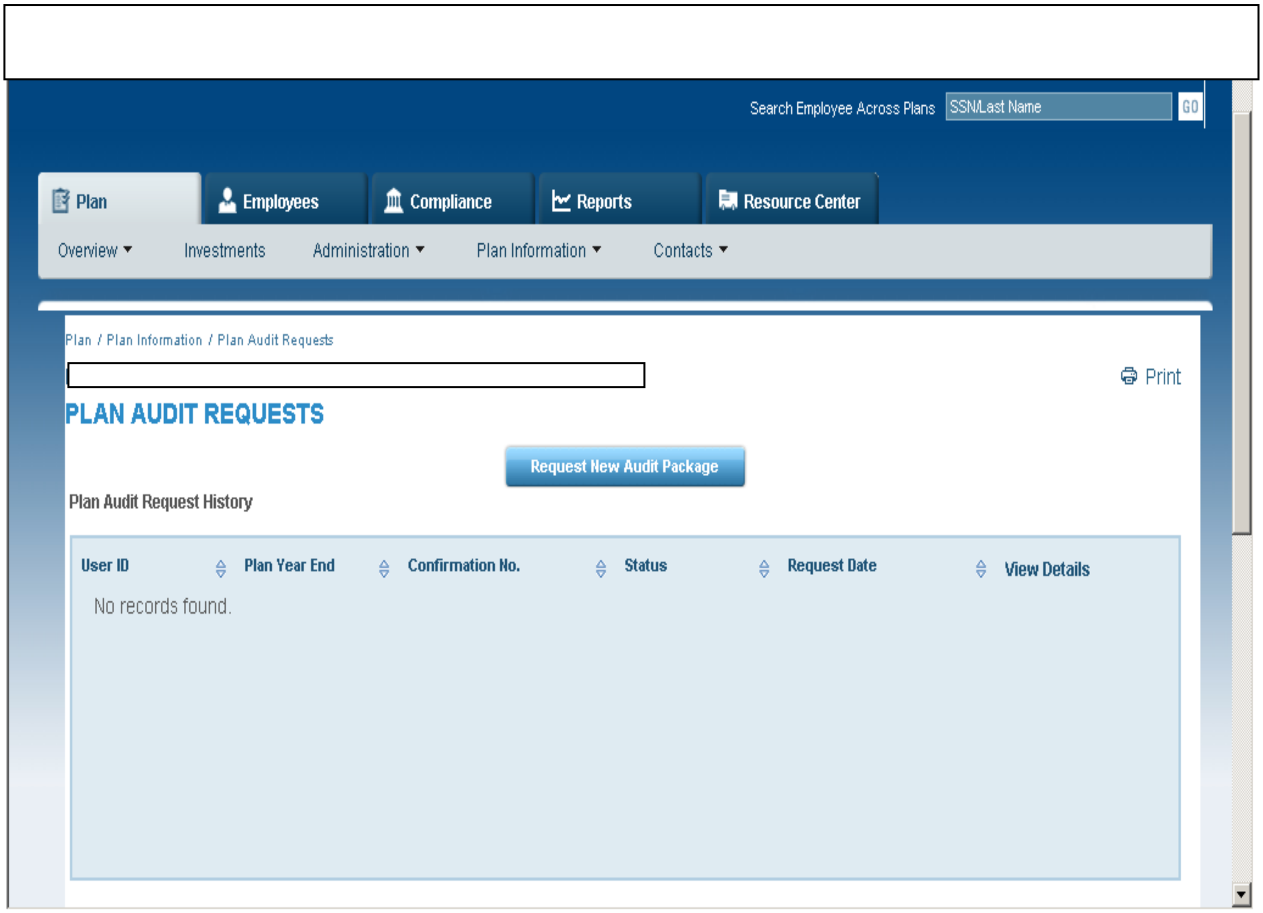
A history of Audit packages ordered in 2013 and forward will display on the PSC and PL. Audit packages for plan year end 2011 or older will be available directly from the audit team by faxing a request to 303-801-6027.

Procedures:

The Plan Audit Request is located within the Plan tab under Plan Information.

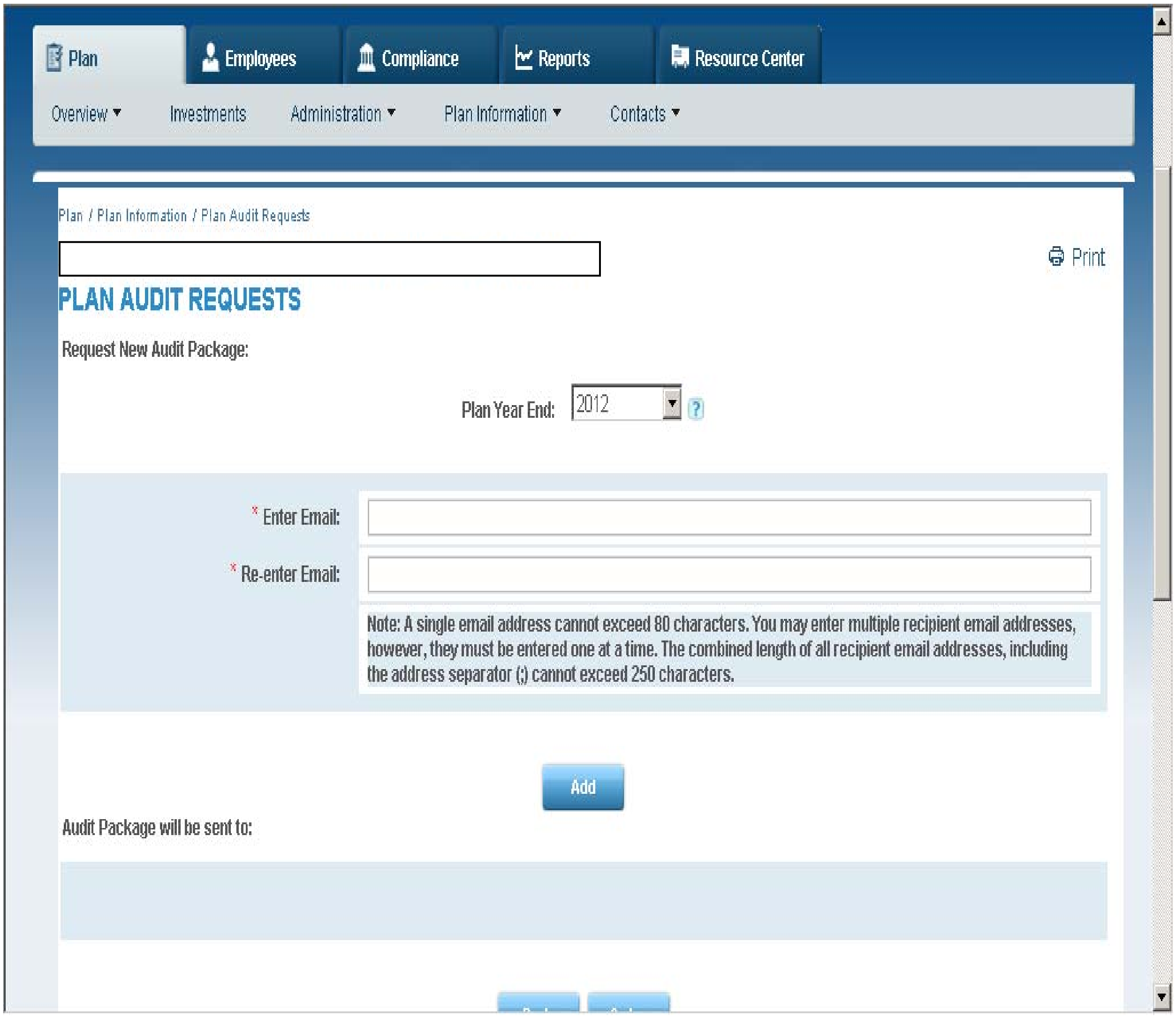


Submit a request by clicking on Request New Audit Package.

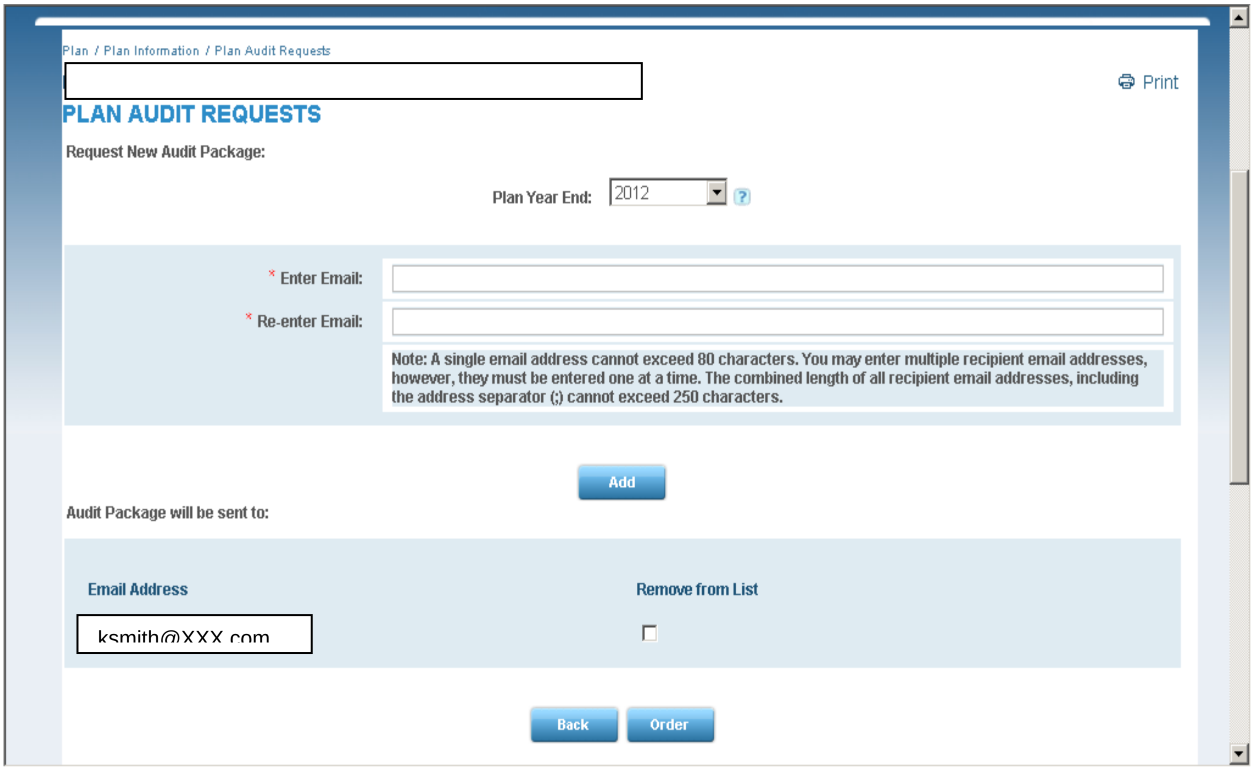


Select Plan Year. For year 2012 and later electronic delivery is available.
Type E-mail address and then verify by re-entering the same email a second time.

Click on Add button.

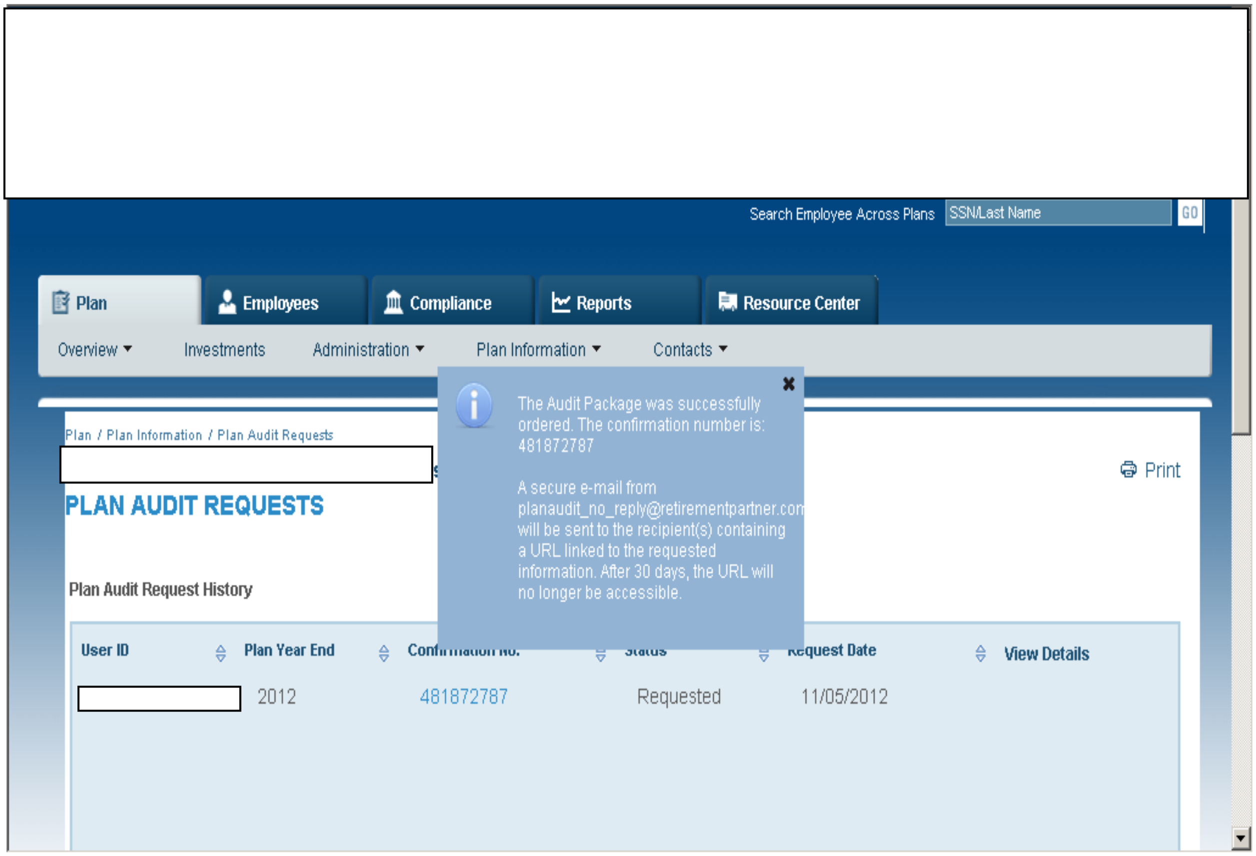


The email “to” address will display at the bottom of the page. Double check the email for accuracy. Repeat process to add additional receivers. When all email addresses are entered click on the order button at the bottom of the page.

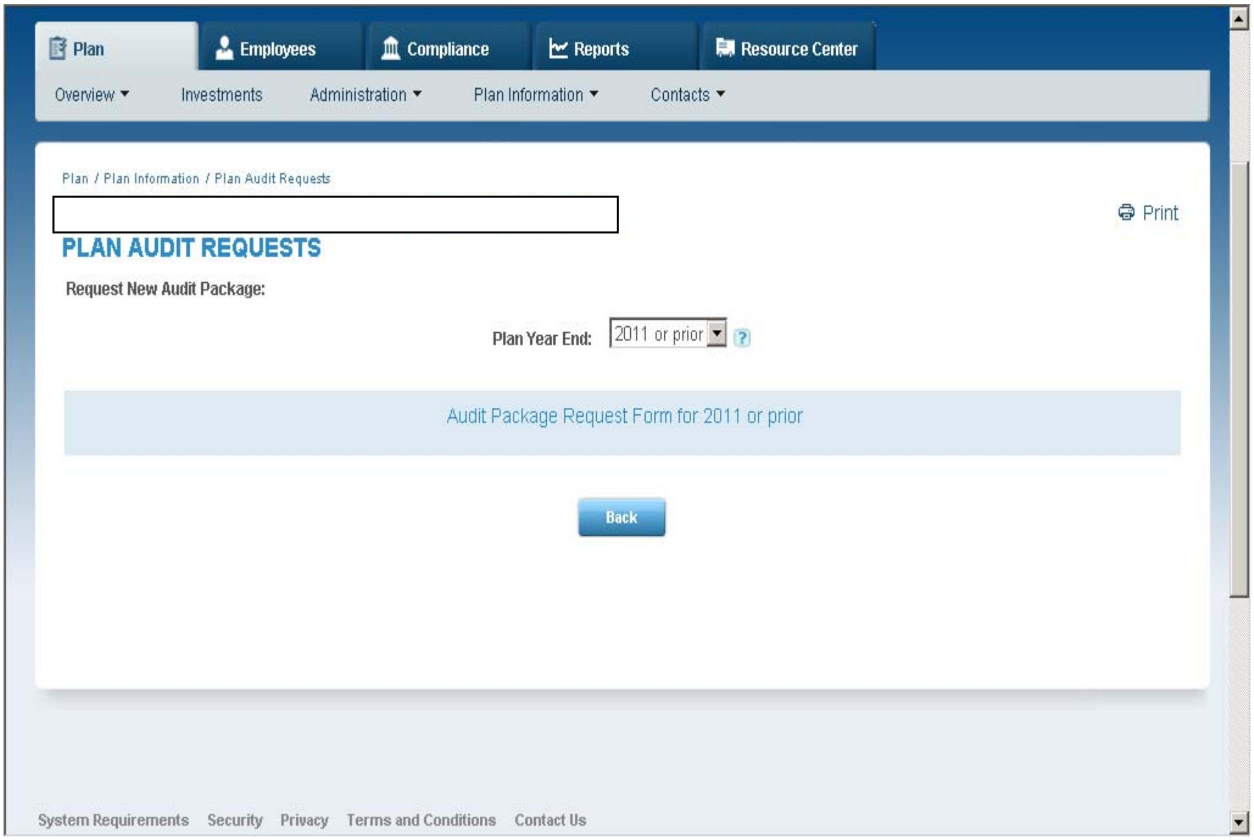


You will see a pop up with the confirmation number for your request along with the following text:

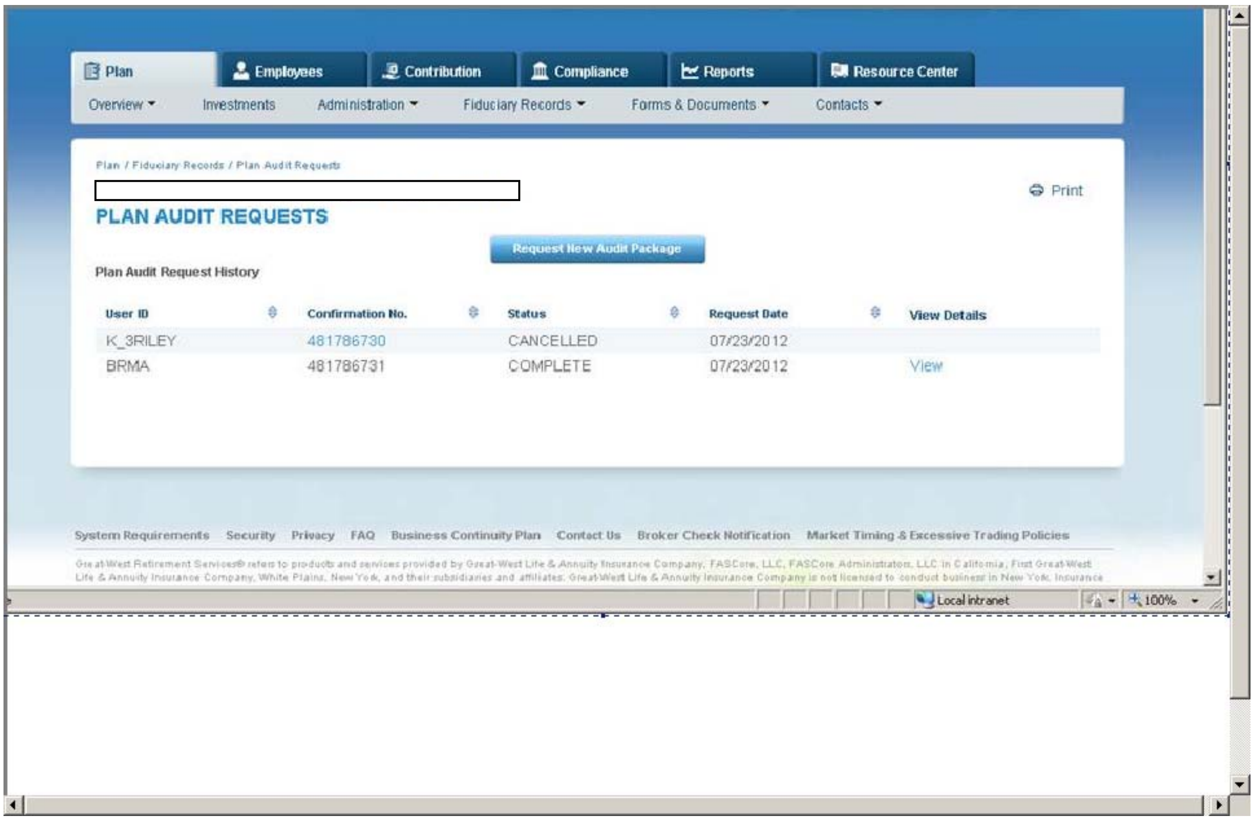
A secure e-mail from planaudit_no_reply@retirementpartner.com will be sent to the recipient(s) containing a URL linked to the requested information. After 30 days, the URL will no longer be accessible.



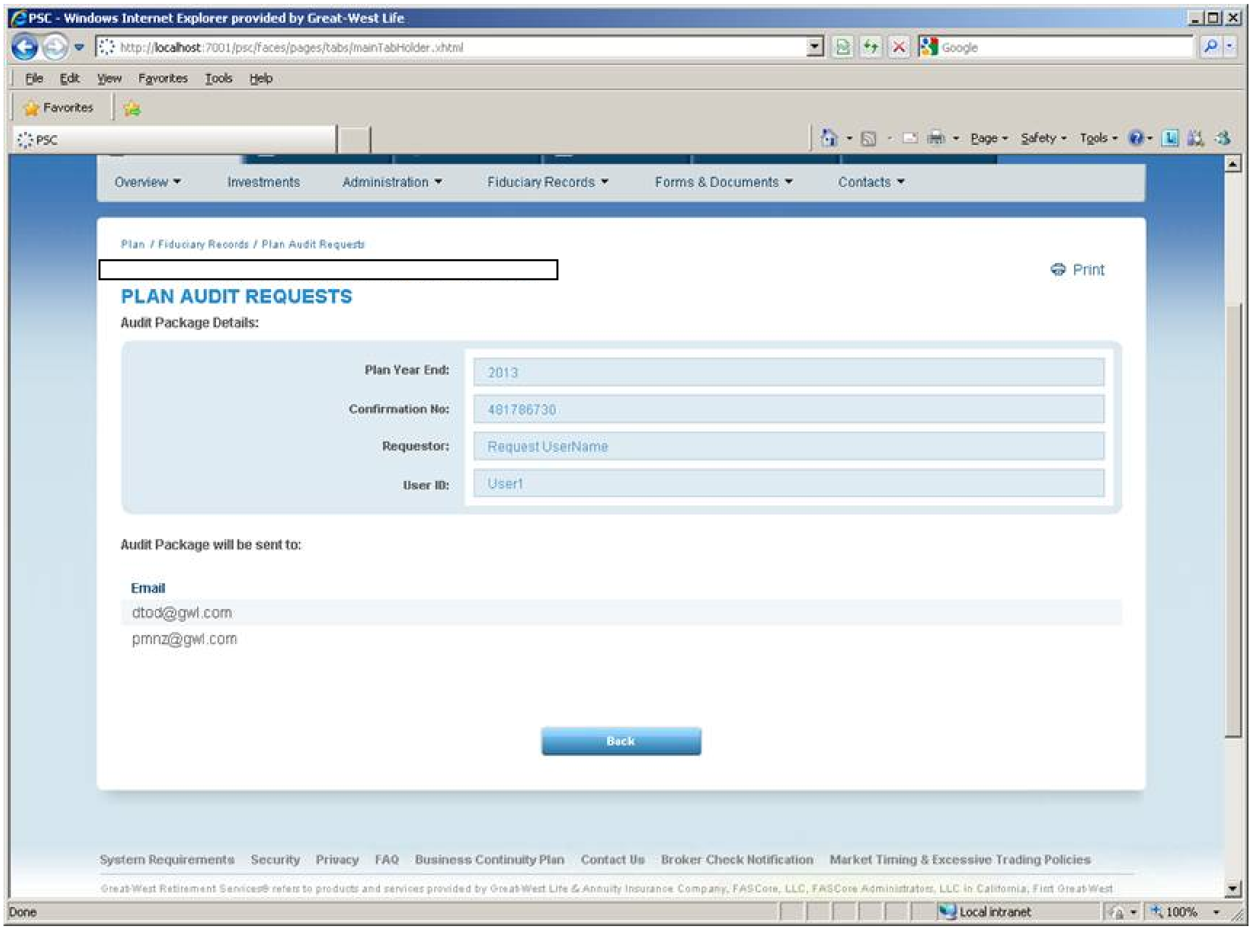
Audit package requests for year 2011 and older will prompt the window to include the Audit Package Request Form link. The user will obtain the form and fax it to Plan Audit for the request to be fulfilled.



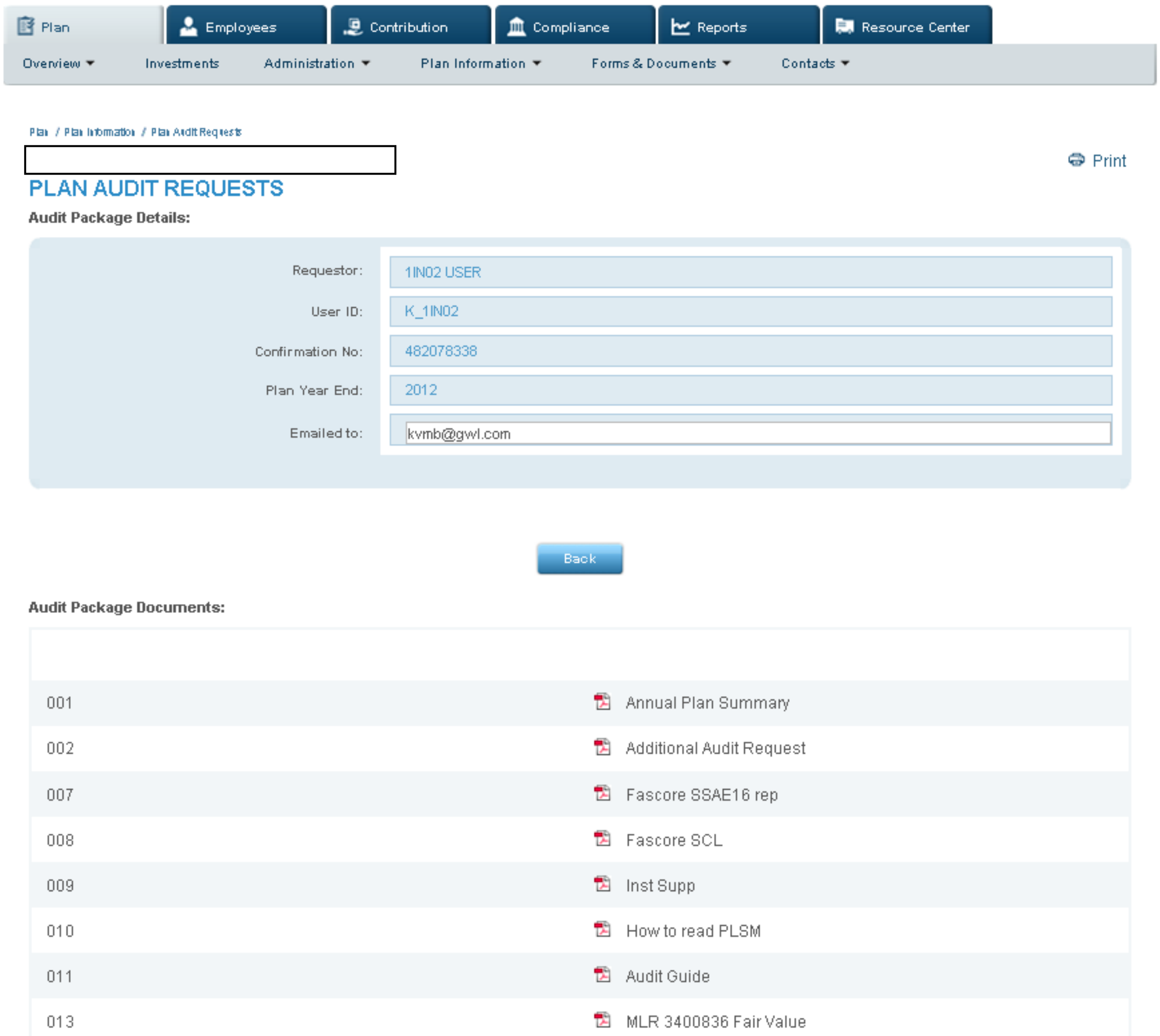
Historical Data will display on the Plan Audit Request landing page. To view a request in Plan Audit Request History click on the confirmation number.



When reviewing the order and the status is 'Complete' 'In progress', 'Cancelled' or 'Removed'– no changes are possible.

- 

When the status is complete no changes will be allowed but the user can still view the details of the request.



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Plan / Plan Information / Plan Audit Requests

Print

PLAN AUDIT REQUESTS

Audit Package Details:

Requestor:	1IN02 USER
User ID:	K_1IN02
Confirmation No:	482078338
Plan Year End:	2012
Emailed to:	kvmb@gwl.com

Back

Audit Package Documents:

001	Annual Plan Summary
002	Additional Audit Request
007	Fascore SSAE16 rep
008	Fascore SCL
009	Inst Supp
010	How to read PLSM
011	Audit Guide
013	MLR 3400836 Fair Value