
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.

The screenshot displays the MetLife PartnerLink web application interface. At the top left is the MetLife logo. On the top right, there are links for 'Contact Us', 'My Profile', 'A&A', and 'Logout', along with a 'Welcome' message and the user's last login time: 'Last Login: 30 Nov, 2012, 3:10 PM EST'. Below this is a search bar with 'Plan Name/ID' and 'SSN/Last Name' fields. The main navigation bar includes 'PartnerLink®', 'Plan', 'Employees', 'Compliance', 'Reports', and 'Resource Center'. The 'Plan' tab is active, and the 'Plan Information' dropdown menu is open, showing options: 'Fee Disclosure Documents', 'Plan Documents', 'Order Participant Data Extract', and 'Plan Audit Requests'. The 'Plan Audit Requests' option is highlighted. Below the navigation, the page title is 'My Retirement Savings Plan - 1009499-01 SUMMARY'. The plan status is 'as of Nov 30, 2012'. A table shows 'Participants with Balance' as 5, 'Participant Assets' as \$2,339.97, and 'Forfeiture Balance' as \$0.00. To the right, a '3-Quarter Balance History' bar chart shows values for 03/31/12 (2,315.30), 06/30/12 (2,206.92), 09/30/12 (2,362.70), and 11/30/12 (2,339.97). A 'SMART History' button is located at the bottom left of the summary section.

Category	Value
Participants with Balance	5
Participant Assets	\$2,339.97
Forfeiture Balance	\$0.00

Quarter	Balance
03/31/12	2,315.30
06/30/12	2,206.92
09/30/12	2,362.70
11/30/12	2,339.97

Submit a request by clicking on Request New Audit Package.

The screenshot shows a web application interface with a dark blue header and a light blue sidebar. The main content area is white. At the top right, there is a search bar labeled "Search Employee Across Plans" with the text "SSN.Last Name" and a "GO" button. Below the search bar is a navigation menu with tabs for "Plan", "Employees", "Compliance", "Reports", and "Resource Center". Under the "Plan" tab, there are sub-menus for "Overview", "Investments", "Administration", "Plan Information", and "Contacts". The main content area has a breadcrumb trail: "Plan / Plan Information / Plan Audit Requests". Below the breadcrumb is a search input field and a "Print" button. The main heading is "PLAN AUDIT REQUESTS" in blue. Below the heading is a blue button labeled "Request New Audit Package". Underneath is the section "Plan Audit Request History" which contains a table with the following columns: "User ID", "Plan Year End", "Confirmation No.", "Status", "Request Date", and "View Details". The table is currently empty, displaying the text "No records found."

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 screenshot shows a web application interface with a blue header and navigation menu. The main content area is titled "PLAN AUDIT REQUESTS" and includes a "Request New Audit Package:" section. This section features a "Plan Year End:" dropdown menu set to "2012". Below this are two input fields for "Enter Email:" and "Re-enter Email:". A note specifies that a single email address cannot exceed 80 characters and that the combined length of all recipient email addresses, including the address separator (;), cannot exceed 250 characters. An "Add" button is positioned below the input fields. The "Audit Package will be sent to:" section is currently empty. The interface also includes a "Print" icon and a breadcrumb trail: "Plan / Plan Information / Plan Audit Requests".

Plan / Plan Information / Plan Audit Requests

Print

PLAN AUDIT REQUESTS

Request New Audit Package:

Plan Year End: 2012 ?

* Enter Email:

* Re-enter Email:

Note: A single email address cannot exceed 80 characters. You may enter multiple recipient email addresses, however, they must be entered one at a time. The combined length of all recipient email addresses, including the address separator (;) cannot exceed 250 characters.

Add

Audit Package will be sent to:

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.

Plan / Plan Information / Plan Audit Requests

Print

PLAN AUDIT REQUESTS

Request New Audit Package:

Plan Year End: 2012 ?

* Enter Email:

* Re-enter Email:

Note: A single email address cannot exceed 80 characters. You may enter multiple recipient email addresses, however, they must be entered one at a time. The combined length of all recipient email addresses, including the address separator (;) cannot exceed 250 characters.

Add

Audit Package will be sent to:

Email Address	Remove from List
<input type="text" value="ksmith@XXX.com"/>	<input type="checkbox"/>

Back Order

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.

The screenshot shows a web application interface with a dark blue header and a light blue sidebar. The main content area is white. A search bar at the top right contains the text "Search Employee Across Plans" and "SSN/Last Name" with a "GO" button. The sidebar has tabs for "Plan", "Employees", "Compliance", "Reports", and "Resource Center". Below the sidebar, there are navigation tabs for "Overview", "Investments", "Administration", "Plan Information", and "Contacts". The main content area has a breadcrumb trail "Plan / Plan Information / Plan Audit Requests" and a search input field. The title "PLAN AUDIT REQUESTS" is displayed in blue. Below the title is a "Plan Audit Request History" table with columns for "User ID", "Plan Year End", "Confirmation no.", "Status", "Request Date", and "View Details". A row in the table shows a user ID in a search box, "2012", "481872787", "Requested", and "11/05/2012". A blue information pop-up is overlaid on the table, containing the text: "The Audit Package was successfully ordered. The confirmation number is: 481872787. 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." A "Print" button is visible in the top right corner of the main content area.

User ID	Plan Year End	Confirmation no.	Status	Request Date	View Details
<input type="text"/>	2012	481872787	Requested	11/05/2012	

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.

The screenshot shows a web application interface with a blue header and a white main content area. The header contains navigation tabs: Plan, Employees, Compliance, Reports, and Resource Center. Below the header is a secondary navigation bar with dropdown menus for Overview, Investments, Administration, Plan Information, and Contacts. The main content area has a breadcrumb trail: Plan / Plan Information / Plan Audit Requests. A search bar is located at the top left of the main content area. To the right of the search bar is a Print icon. The main heading is **PLAN AUDIT REQUESTS**. Below this heading is the text "Request New Audit Package:". A dropdown menu for "Plan Year End:" is set to "2011 or prior" with a help icon. A light blue banner contains the text "Audit Package Request Form for 2011 or prior". Below the banner is a blue "Back" button. At the bottom of the page, there is a footer with links for System Requirements, Security, Privacy, Terms and Conditions, and Contact Us.

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.

The screenshot displays a web application interface for Plan Audit Requests. At the top, there is a navigation menu with tabs for Plan, Employees, Contribution, Compliance, Reports, and Resource Center. Below this is a secondary menu with options like Overview, Investments, Administration, Fiduciary Records, Forms & Documents, and Contacts. The main content area is titled 'PLAN AUDIT REQUESTS' and includes a search bar, a 'Print' button, and a 'Request New Audit Package' button. A table titled 'Plan Audit Request History' contains the following data:

User ID	Confirmation No.	Status	Request Date	View Details
K_3RILEY	481786730	CANCELLED	07/23/2012	
BRMA	481786731	COMPLETE	07/23/2012	View

At the bottom of the page, there is a footer with links for System Requirements, Security, Privacy, FAQ, Business Continuity Plan, Contact Us, Broker Check Notification, and Market Timing & Excessive Trading Policies. A small disclaimer is also present: 'One at West Retirement Services® refers to products and services provided by Great West Life & Annuity Insurance Company, FASCore, LLC, FASCore Administration, LLC in California, First Great West Life & Annuity Insurance Company, White Plains, New York, and their subsidiaries and affiliates. Great West Life & Annuity Insurance Company is not licensed to conduct business in New York. Insurance'.

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

The screenshot shows a web browser window titled "PSC - Windows Internet Explorer provided by Great-West Life". The address bar displays "http://localhost:7001/pssc/Faces/pages/tabs/mainTabHolder.xhtml". The browser's menu bar includes "File", "Edit", "View", "Favorites", "Tools", and "Help". The page content is as follows:

- Navigation tabs: Overview, Investments, Administration, Fiduciary Records, Forms & Documents, Contacts.
- Breadcrumbs: Plan / Fiduciary Records / Plan Audit Requests.
- Section Header: **PLAN AUDIT REQUESTS** (with a "Print" icon to the right).
- Section: **Audit Package Details:**
 - Plan Year End: 2013
 - Confirmation No: 481786730
 - Requestor: Request UserName
 - User ID: User1
- Section: **Audit Package will be sent to:**
 - Email:**
 - dtod@gwl.com
 - pmnz@gwl.com
- Buttons: A blue "Back" button is centered below the email list.
- Footer: A list of links including System Requirements, Security, Privacy, FAQ, Business Continuity Plan, Contact Us, Broker Check Notification, and Market Timing & Excessive Trading Policies. Below this is a small disclaimer: "GreatWest Retirement Services® refers to products and services provided by GreatWest Life & Annuity Insurance Company, FASCore, LLC, FASCore Administrators, LLC in California, First GreatWest".

The browser's status bar at the bottom shows "Done", "Local intranet", and a zoom level of "100%".

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

Plan Employees Contribution Compliance Reports Resource Center
Overview Investments Administration Plan Information Forms & Documents Contacts

Plan / Plan Information / Plan Audit Request

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