PlanViewer Guide for Admin Users - International Retirement Savings Plan

Workplace Investing

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Contents

1.   File Formats

Before you start – important information on file formats

- Any files you submit should be in the format agreed with Fidelity, or we may not be able to process them. Please contact Fidelity if you have any questions about the format you should use.

- If you are submitting a file that has been prepared by someone else, such as payroll or HR, it is a good idea to check it for obvious errors before you submit it.

- You will have the option to give your file a unique name. We suggest you use a name that makes it easier for you to search for the file in the future – for example, by including the date.

2.   Using the Administration tab

The Administration tab on the PlanViewer home page gives you quick links to some of the tasks you will carry out most often:

- **Submit Individual Entry** allows you to supply enrolment details for a single employee or to update the details we have on our system for them.
- **Submit File** is where you can upload files of data – for example, about new joiners or contributions.
- **Submission Management** will let you see the status of data you have submitted and find out if there is anything for you to do or any errors you need to correct.
- **Alerts & Messages** will tell you if there is anything you need to do at the moment.
- **Administration Reports** takes you to range of reports that will help you with your payroll and reporting duties.

3. Important Information before you start

3.1. New Joiner submission, Maintenance submission and a Leaver submission

Each of the above submissions trigger a communication to the participant upon completion automatically.

After each submission you make via an Individual entry or a Submit file option, you will have to go to the Submission Management tab to complete the new entry or the member changes you are trying to process. You will have to either "Fix" (to resolve all warnings and clear any errors) or "Confirm" to complete the submissions made. Please refer to the Submission Management section further down this guide for more details.

Failing to do so may cause errors or late member data submission.

3.2. Contribution Data

If you are submitting contribution data, no further action is required as Fidelity will process the files and we will be in touch of the next steps or in case of any queries that may require your attention.

4. Adding participants through the standard enrolment process

4.1. Adding an individual participant

Administration → Submit Individual Entry → New Employee

Following the navigation above will bring you to the 'New Employee' screen where you will be prompted to supply the employee's details (the mandatory fields are highlighted with an asterix *on each tab). Each time you click on 'Next' you will move to the next tab within this section.

Top tips

- If you try to enrol a new participant and see the message 'Duplicate Records', this means they already have an account with Fidelity. Check their employer code and status:
  - **AC** means they are active and have an account that is ready to accept contributions, but you may need to change their employer code.
  - **PP** means they are a deferred participant of the plan. This happens if they have left the company in the past. In this case, you will need to set up a new account for them by selecting 'No Records Match'.
  - Please ensure participants' email addresses are provided as the welcome letter will be sent via an email.

4.2. Adding several participants at the same time

Administration → Submit File → Enrolment

Following the navigation above will bring you to the 'Submit Enrolment File' page where you can upload a file containing the employees' details.

5. Maintaining employees' records

5.1. Updating an individual employee's records

Administration → Submit Individual Entry → Maintain Data

Following the navigation above will take you to the 'Maintain Data' page where you can search for the employee whose records you want to update. When you have submitted the employee's details and they have appeared in the 'Search Results', choose 'Maintain' from the drop-down menu under 'Action' to the right of the screen.

Once you click on 'Go' you will see a summary of the employee's records and you should use the 'Edit' link for any section you want to update.

Top tips
- If 'Maintain' does not appear in the drop-down menu under 'Action', it is likely to mean the record is currently being updated by someone else. You can find out by checking the 'Submission Management' page or try again later.

5.2. Updating records for more than one employee

Administration → Submit File → Maintenance

Following the navigation above will bring you to the 'Submit File – Maintaining Data' page where you can upload a file containing the employees' updated details.

5.3. Records that cannot be updated in PlanViewer

There are certain limitations of the details that administrators can update on PlanViewer. Details of these are listed below for your attention:

- **Employer**- these details can be updated via a maintenance file upload only, but not via a submit individual entry.
- **Category and Contribution rates** - these details can be updated via a maintenance file upload only, but not via a submit individual entry.
- **Date of birth** cannot be amended on PlanViewer. Please contact the Service Delivery Team if these details require changing.
- **National Insurance Number** - these details can be updated via a maintenance file upload only
- **Staff Number** - these details can be updated via a maintenance file upload only, but not via a submit individual entry.
- **Date Joined Company** cannot be amended on PlanViewer. Please contact the Service Delivery Team if these details require amending.
- **Gender** cannot be amended on PlanViewer. Please contact the Service Delivery Team if these details require amending.

6.   Leaving the Plan - Exit Processing

PlanViewer divides participants whose details need to be removed from the plan into three broad categories:

■ **Leavers** are employees who have left your company. They become deferred participants of the plan. If they come back to the company in future, you will have to treat them as if they were new employees.

■ **Non arrivals** are people who were due to join your company but didn't. These people will only be recognised in PlanViewer if you tell us in advance about people that you expect to be joining the company.

6.1. Leaving the Plan - Exit Processing for individual participant

Administration → Submit Individual Entry → Exit Processing

Following the navigation above will take you to the 'Exit Processing – Search' page where you can search for the employee who is leaving the plan. When you have submitted the employee's details and they have appeared in the 'Search Results', choose 'Leaver' from the drop-down menu under 'Action' to the right of the screen and submit the leaver details.

6.2. Leaving the Plan - Exit Processing for multiple participants

Administration → Submit File → Exits

Following the navigation above will bring you to the 'Submit File – Exits' page where you can upload a file containing details of the employees' who are leaving the plan.

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7. Online Withdrawals

The Online Withdrawal Journey is split into two parts:

7.1. Participant Online Withdrawal

The participant initiates the Online Withdrawal Request by logging to PlanViewer and the journey is shown on the Flow Chart below.
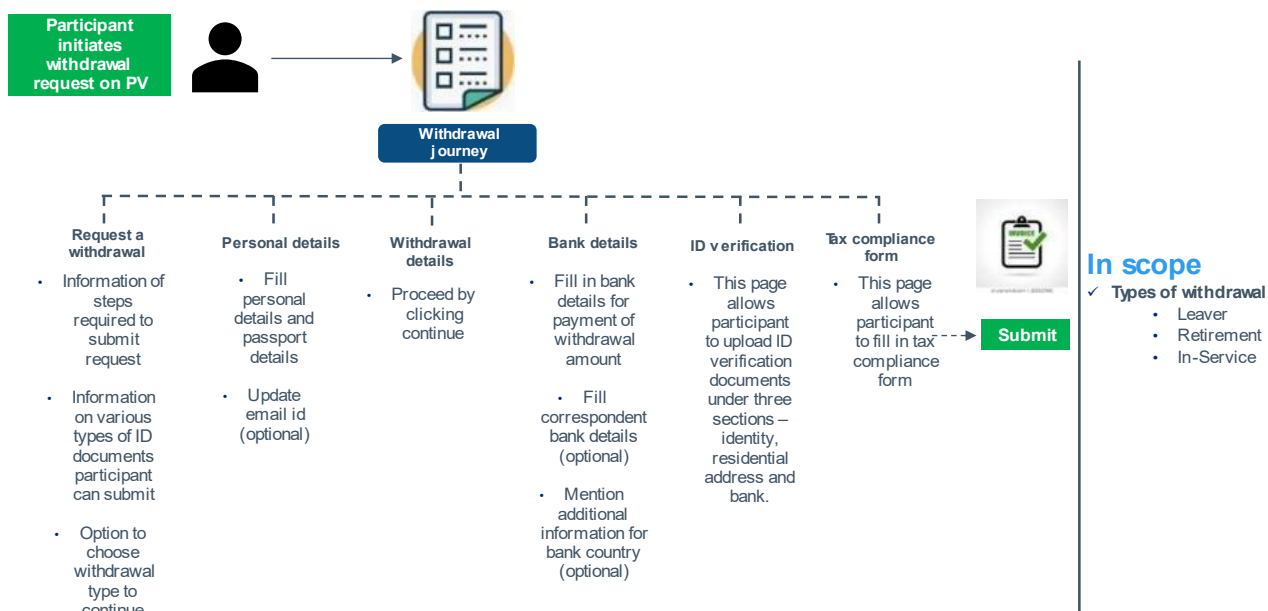
7.2. Client Online Withdrawal

- 1st Approval of the Online Withdrawal Request -upon Submission of the Withdrawal Request by the participant the client will receive a notification to check and approve or reject the request. The approval can be processed by following the path below on PlanViewer:

    Administration → Online Withdrawals

- 2nd Approval of the Online Withdrawal Request - the Trustees will receive a notification that a second approval of the request is required.

7.3. Verification document review

- The Fidelity team review the verification documents uploaded by the participant online, in case of any queries the team liaise with the participants directly.

Once both the approvals received on the online withdrawal request and the verification documents reviewed by the Fidelity team, the withdrawal will be processed within the agreed timelines.

8. Submitting contributions

Administration → Submit File → Contributions

Following the navigation above will bring you to the page where you provide details of the contributions file you want to upload, which you can select by clicking on 'Browse'.

Please check the information about file formats at the start of this guide and update all the details correctly on the PlanViewer screen as that will help Fidelity and Trustee to reconcile monthly contributions submission for the plan.

Top tips

- You can use the 'Comments' box for any other information you need to give us.

- You'll receive an email once we've received your file, and you can include other people into the email by selecting them from the recipient list.

9. Submission Management

Administration → Submission

Following the navigation above will take you to the 'Submissions Home' page where you will see a list of your current submissions and find details of anything you need to do.

The 'In Flight Summary' shows the four status icons that can be linked to your submissions:

- 🛑 **Action required** tells you there is something you need to do before we can process your submission.

- 🔄 **Fidelity processing** means we are working on your submission and, as a result, it isn't available to you at the moment.

- ✔ **Completed** appears if a submission has been loaded into the system in the past 24 hours.

- ⊗ **Rejected** appears if you have rejected a submission in the past 24 hours.

Top tips

- If the 'Confirm' action is showing, it means we've checked your submission and there are no errors you need to fix.

- We will only process your submission after you click on 'Confirm'.

- Once you have clicked on 'Confirm' for a submission, or even just for a single record within it, you will no longer have the option of abandoning that submission.

- Should the file be resubmitted due to a high number of errors, the initial one has to be abandoned first to avoid getting inflight errors. Submitting multiple files without completing them also creates inflight errors.

- To search for a submission from before the past 24 hours, use the date and journey filters below the summary table.

9.1. Fixing errors within a submission

If we find an error in a submission, you will need to fix it before we can process the submission.
Click on the 'Fix' button in the 'Action' column and you will be taken to the 'Error' tab of the 'Submission Detail' screen. For a more detailed description of an error, click on the number in the 'Code' column. You will then see what you need to do to correct the error.

Click on either the error message or 'Edit' link and you will be able to make the necessary correction.

Once you have made the correction, and any others in the file, you will be able to 'Confirm' the file in the summary table under 'File Overview'.

If you need assistance with any of the validation errors, you should contact the Service Delivery Team on service.delivery@fil.com .

Top tip

- If there are so many errors in a submission that you would rather discard it and start again, simply select the file in the Submission Management table and click on 'Abandon File'. This will completely remove the submission from our system, and you will be able to submit a new, corrected file.

10. Administration reports

PlanViewer offers a range of reports designed to help you administer the plan.

Reports → Report Options → Membership Reports

Following the navigation above will take you to the 'Membership Reports' page where you will see the range of reports available to you.

- **Membership Analysis Report** - the report provides details for participants and can be filtered as required.
- **Transaction History Report** - This report shows the transaction activity at member level, splitting information by either fund choice, contribution type or transaction type.

Depending on the type of report you are generating, you will be taken to a page where you can use the 'Report Parameter Options' to tailor your report.

11. Further Assistance and Information

Plan Information and Forms can be found on PlanViewer by following the path below:

Plan Information → Menu → Forms & Documents

If you require any further assistance on PlanViewer please contact the Service Delivery Managers Team on +44 (0)1737 838517 or by email on service.delivery@fil.com.

You can also visit the Help & Support page where further information on the administration of plan is available:
Help & Support (fidelity.co.uk)

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