



BEGIN HERE!

New to ASC? Not for Long!

A new user can be up and running on ASC in five days or less by following this Self-Training Guide. The Self-Training Guide is a step-by-step learning path consisting of a combination of training videos and written materials.

ASC is Here for You



ASC provides innovative, cost effective retirement systems that help you stay competitive in this complex industry. All systems are developed and supported by experienced retirement industry professionals who understand your needs.

The systems share data via automated integration, providing maximum efficiency and profitability.

www.asc-net.com | (800) 950-2082

Step One: Introducing ASC's Online Client Support Center (CSC)

Begin with the Videos in the Online Client Support Center (CSC).

1. To login to the CSC, go to www.asc-net.com
2. Click on the “[Contact Support](#) Login” button in the upper middle or the Customer Login on the upper right side.

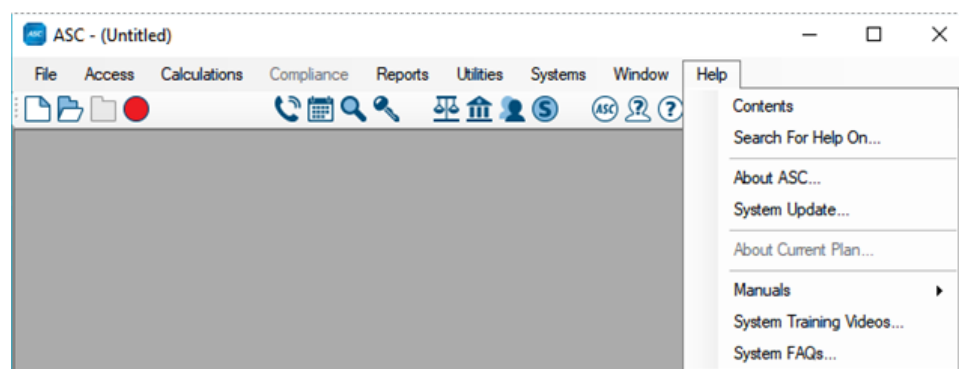


► Need your login or password? Send an email to: support@asc-net.com.

3. Enter your User ID and Password

support@asc-net.com'."/>

4. If your system is installed go from main ASC menu -Help-System Training Videos link.



Click here: [System Training Videos](#)

5. Click on the [System Training Tab](#) and the DC/401K Recordkeeping Training Series arrow

ASC Client Support Center Search ASC FAQs client LOG OFF

HOME REQUEST SUPPORT UPDATES & DOWNLOADS DOCUMENTS SYSTEM TRAINING FAQs BILLING ADMIN

REQUEST SUPPORT
Submit Support Request

UPDATES & DOWNLOADS
ASC System Patch Files
ASC System Updates
ASC System Tables
Client Files

ADMIN & BILLING
Manage Users
Change Password
▶ DGEM Billing
▶ Gemini Billing

HOW TO
ASC SYSTEM
Search ASC FAQs
ASC System Documentation
▶ ASC System Training Videos

PLAN DOCUMENTS
DGEM User Guide
DGEM FAQs

5500
5500 User Guide
5500 Training Video

CATTS
CATTS User Guide
CATTS Training Video

SYSTEM TRAINING
▶ Training Videos
Webcasts

ASC LINKS: Products & Services, Continuing Education, Support & Training CONTACT US: Toll Free: (800)950-2082, Email our sales team, Connect to ASC Support FOLLOW US: LinkedIn, Google+, Twitter, Facebook Copyright 2017

ASC System Documentation

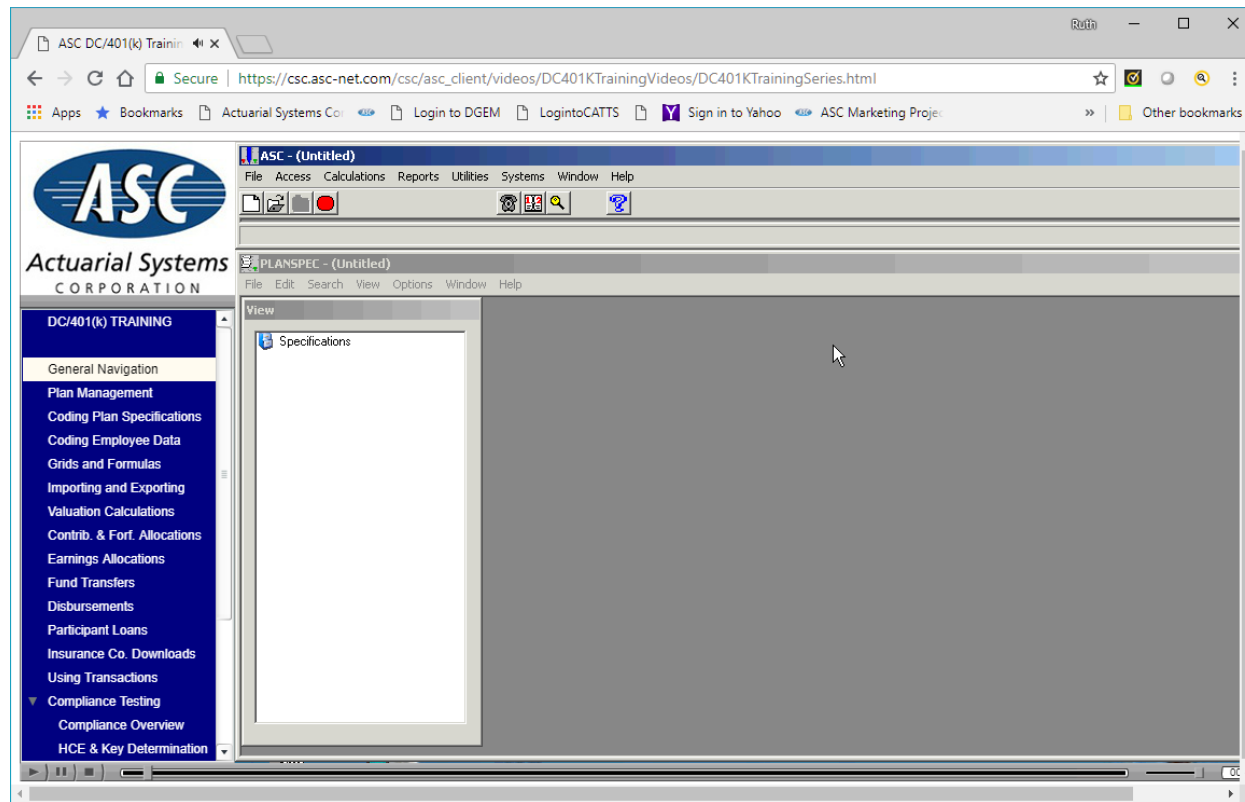
▼ ASC System Training Videos

DC/401(k) Recordkeeping Series

Defined Benefit Training Series

Compliance Training Series

6. Click on the arrow in the Start DC/401K Recordkeeping Training Series box and the first video will begin to play.



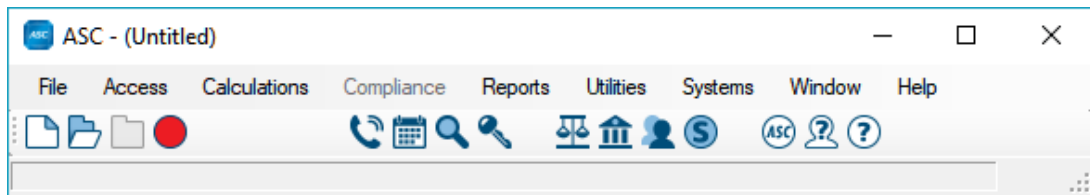
If you see this message you may need to update your version of the free Flash Player.

The Camtasia Studio video content presented here requires JavaScript to be enabled and the latest version of the Macromedia Flash Player. If you are you using a browser with JavaScript disabled please enable it now. Otherwise, please update your version of the free Flash Player by [downloading here](#).

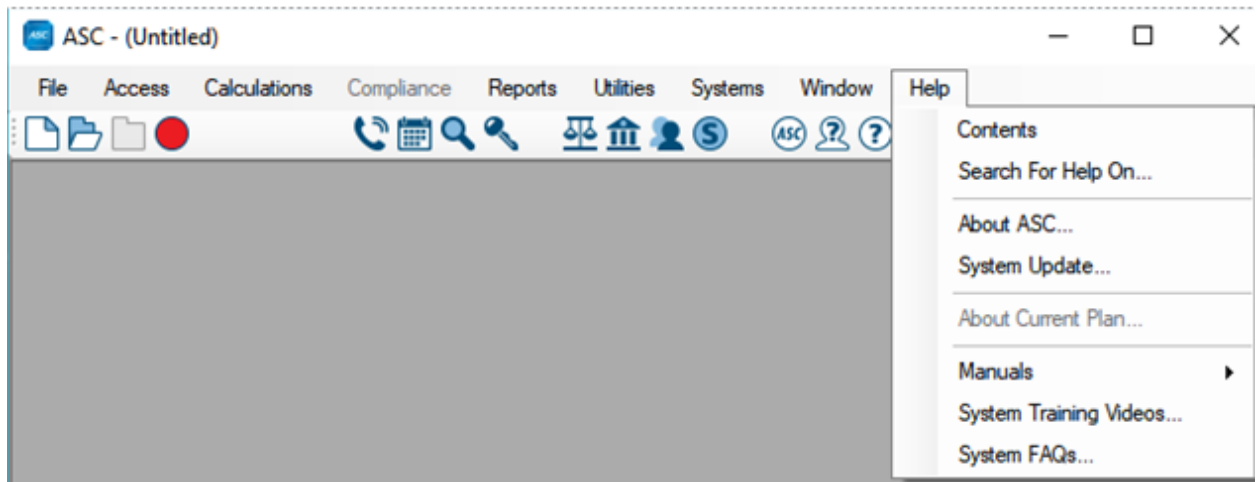
Step Two: Locate Training and Reference Manuals


Locate the manuals from the ASC system menu:

1. Launch ASC



2. Select Help>Manuals



3. Online Help – an interactive supplemental learning tool available by clicking on a field in the ASC system and then hitting F1 on your keyboard.
4. You may also click on  icon from the main ASC menu.





Step Three: Training Agenda for a New User

The attached training plan is intended to be modular and flexible.

We understand that committing solid days at a time to learn all the capabilities of the Defined Contribution system is a challenge – you’re in a hurry to take advantage of all the ASC efficiencies and features!

We’ve broken the training plan into Modules showing you the budgeted time to completion of the module. Sometimes the budgeted time reflects actual time to completion and other times, it is our best estimate of how long it should take a new user to complete the reading or the practice exercises. Actual time spent will vary. But based on budgeted times, you can develop a targeted self-study plan that meets your needs and fits your schedule.












Each Module is organized as follows:

1.  Learning Objectives
 - A summary of what you are expected to have learned after the completion of the module. Use “Table 1 Summary of Videos and Manuals with Reference to chapter or section” listed below to gain a further understanding of details.
2.  Watch
 - A listing of available videos that you can watch on the topic of the module.
 - Videos listed are identified between those available from the DC/401k Recordkeeping Training Series or the Other Web Seminars section of the Client Support Center.
 - Use “Table 1 Summary of Videos and Manuals with Reference to chapter or section” listed below to gain a further understanding of details
 - We present actual time to complete watching the recommended video.
3.  Read
 - A listing of available Chapter references you can read on the topic of the module.
 - Chapters are identified by manual.
 - We present an estimate of the time to complete the recommended reading.
 - *Reminder:* Don’t forget to read Online Help when using ASC. Online Help is available by clicking F1 on your keyboard when a field in the system is selected.
4.  Practice








- A listing of possible practice activities for the module topic that you can do to help reinforce what you've learned from watching videos and reading chapter manuals.
- Study Guide Questions – Use to see what you have learned.










Recommended for a New User

DAY 1 – Intro and Plan Specs (approx. 5 hours)








1.  General Navigation video (13:40)
2.  Using Preface from Systems Reference Manual  practice and investigate ASC (15:00)
3.  Plan Management video (10:44)
4.  Using Chapter 1-Plan Management from Systems Reference Manual read and  practice on system (45:00)
5.  Plan Spec video (20:52)
6.  Using Chapter 1-Plan Specifications from DC_401k Training manual read and  practice on system (3:00:00)
7.  Reports Overview video (6:06)
8.  **Review StudyGuide and complete Questions 1-19.**


DAY 2 – Employee Data and Importing (approx. 7 hours)

9.  Coding EE Data video (22:42) and  Webcast for ASC Eligibility Updates (1:01:00)
10.  Using Chapter 2-Employee Data and Chapter 11-Takeover Plan from DC_401k Training manual read and  practice on system (1:00:00)
11.  Using what you learned yesterday and so far today setup a new plan for this year and code the Plan Specs and add at least 10 employees [Census data (include compensation, deferral include catch up for one person)]. (1:00:00)
12.  Review Chapter 2-Data Checks from the Systems Reference Manual (15:00)
13.  Run Data Checks for both Plan specs and EE data in your sample plan. Review report and make corrections to data if necessary (5:00)

14.  Importing and Exporting (15:07)
15.  Using Chapter 3 – Importing Data from the Systems Reference Manual practice importing an employee data file. Save the VIF and import again using the Open an Existing Variable Import File. (45:00)
16.  Grids and Formulas video (21:32)
17.  Read Chapter 4 – Working with the Grid, from the Systems Reference Manual and practice creating a grid, saving, opening, etc. (1:00:00)
18.  Using a grid or by importing or manual input, give your employees in your ASC sample plan “Prior Balances” in at least 3 sources and 1 fund. (15:00)
19. Run Data Checks for both Plan specs and EE data in your sample plan (reference #10 above). Review report and make corrections to data if necessary (5:00)
20.  Valuation Calculations video (5:57)
21.  Run Valuation Calculations – Selected and choose Eligibility and Limited Compensation calculations. Review the DATES and COMP screens (5:00)
22.  Run Data Checks –EE Data again for your sample plan (reference #11 above). Review report and make corrections to data if necessary (5:00)
23.  **Review the StudyGuide and complete Questions 20-30**














DAY 3 – Main Valuation Functionality (approx. 5 hours)

24.  Earnings Allocations video (13:51)
25.  Review Funds (beginning with page 1-58) from Chapter 1 – Plan Specifications and set up earnings allocations in your plan.  Run the allocation using Calculations-Valuation. Check at least one person’s earnings allocation in Values screen. (1:30:00)
26.  Print an Investment Summary for your plan; Reports-Valuation-Universal 401k and review the report. (10:00)
27.  Insurance Co. Downloads video (5:57)
28.  Contribution and Forfeiture Allocations video (14:17)
29.  Using Chapter 3-Contributions and Forfeitures from the DC_401k Training manual set up your sample Plan Specs for Source 1 Deferral contributions for and Employer contribution in








Source 2 and a Match contribution in Source 3.  Run the Calculations-Valuation either Complete Calculations or Selected and Allocations. Review the results. (1:30:00)


30.  Budget Design Calculator Webcast video (under other webcasts) (1:06:00)

DAY 4 – Compliance (approx. 5 hours)

31.  Compliance Overview video (9:48)
32.  HCE/Key Determination video (8:46)
33.  Read Chapter 5 – HCE and Key Employees from Systems Reference Manual and  run setup some owners and family members in your sample plan then run the HCE/Key reports. (30:00)
34.  Top Heavy Test, Minimum Calculation (8:39)
35.  Begin reviewing the Compliance manual: Search for the Order of Testing page 82 and proceed to read through this manual. (2:00:00)
36.  Coverage and Non-Discrimination Tests video (19:23)
37.  Review these test screens in ASC and print a few reports from your sample plan. (15:00)
38.  402g, Plan Limits and 415 video (13:47)
39.  Referencing the Compliance manual,  run these tests in your ASC plan. (30:00)
40.  ADP/ACP Test video (36:02)
41. Referencing the Compliance manual,  run this test in your ASC plan and review the results. (30:00)

DAY 5 – Miscellaneous (approx. 3 hours)

42.  Participant Loans video (14:27)
43.  Practice on sample plan,  using Chapter 9 – Loans from DC_401k Training manual. (45:00)
44.  Disbursements video (9:42)
45.  Practice on sample plan,  using Chapter 8 – Disbursements and Withdrawals from DC_401k Training manual. (50:00)
46.  **Review the StudyGuide and complete Questions 31-35**

Pace yourself and try to  one of these videos each day or week as time allows:

- Fund Transfers (16:08)
- Using Transactions (14:15)
- Table Maintenance (8:27)
- Advanced Grid Webinar (1:28:00)
- Helpful Utilities for Printing, Exporting and Editing Employee & Plan Spec Data (58:00)
- 5500 Training Series (1:37:00)
- CATTs Training Series (1:37:15)

DC 401(k) Training Video and Manual References

Table 1 Summary of Videos and Manuals with Reference to chapter or section

Training Video	Description: What is covered in this section	Video Length and Speaker	Manual Reference Sites
General Navigation	<ul style="list-style-type: none"> ◆ How to navigate in the ASC menu system ◆ Overview of the 3 menus which open automatically (Main ASC, Plan Specifications, Employee Data) ◆ How to get support help via website ◆ Where to Locate Manuals ◆ Online Help 	13:40 min/sec Brad Watson	Systems Reference Manual: Preface
Plan Management	<ul style="list-style-type: none"> ◆ Libraries ◆ Pattern Plans ◆ Creating, Deleting and Copying Plans ◆ Printer Setup Options 	10:44 min/sec Ruth Flad	Systems Reference Manual: Chapter 1 – Plan Management Compliance Manual
Coding Plan Specifications	<ul style="list-style-type: none"> ◆ General <ul style="list-style-type: none"> ▪ Identification ▪ Vesting ▪ Definitions ▪ Insurance ▪ Assumptions ▪ Daily Valuation ◆ Source (1-20) ◆ Fund (1-99) ◆ Loan ◆ Values ◆ Transactions ◆ Locations 	20:52 min/sec Ruth Flad	DC_401k_Training Manual: Chapter 1 – Plan Specifications Compliance Manual
Coding Employee Data	<ul style="list-style-type: none"> ◆ Manually enter and edit EE Data ◆ Search menu/Find Function Keys ◆ Sort EEs ◆ Highlights important screens/fields ◆ Discuss Participant Status codes ◆ Data Checks - Validation 	22:42 min/sec Laura Houston	DC_401k_Training Manual: Chapter 2 – Employee Data Compliance Manual Systems Manual: Chapter 2 – Data Checks

Training Video	Description: What is covered in this section	Video Length and Speaker	Manual Reference Sites
Eligibility Calculations	<ul style="list-style-type: none"> ◆ Setting up employees and running Eligibility 	61:00 min/sec John Connors	DC_401K_Training Manual: Chapter 2 Other Webcasts, ASC Eligibility Updates, 2016 Fall Release, Download Documentation
Grids and Formulas	<ul style="list-style-type: none"> ◆ Explanation of Grid ◆ Create or Open existing ◆ Find Items and Item Names ◆ Save Grids as Templates ◆ Copy data to another field/column ◆ Formulas and Advanced ◆ Print Report/Export to a file/Copy to Clipboard 	21:32 min/sec Brad Watson	DC_401k_Training Manual: Chapter 2 – Employee Data Systems Manual: Chapter 4 – Working with the Grid Grid Manual
Grids and Formulas	Found under Other Web Seminars	82:00 min/sec Brad Watson	Download Documentation via weblink
Importing and Exporting and Edit ASCript	<ul style="list-style-type: none"> ◆ Setting up your TXT/CSV/XLS/XLSX data file ◆ Creating a Variable Import File (VIF) ◆ Open a VIF ◆ Map Fields from Data file to ASC plan ◆ Edit Items screen Options ◆ Add or Copy items ◆ Print Report ◆ Create a VXF and a VEF 	15:07 min/sec Ruth Flad 58:00 min/sec Brad Watson	Systems Manual: Chapter 3 – Importing Data No documentation
Valuation Calculations	<ul style="list-style-type: none"> ◆ Running Valuation Calculations ◆ Update to New Period 	5:57 min/sec John Connors	DC_401k_Training Manual: Chapter 4 – Running Valuation Calculations And Systems Reference Manual: Chapter 1 – Plan Management (Update to New Period)

Training Video	Description: What is covered in this section	Video Length and Speaker	Manual Reference Sites
Contribution and Forfeiture Allocations	<ul style="list-style-type: none"> ◆ Allocate and Calculate Contributions/Forfeitures ◆ Code Source Specs ◆ Overrides ◆ Direct to Funds (Elections or Fund) ◆ Groups Eligible to Receive ◆ Various Allocation methods 	14:17 min/sec Ruth Flad	DC_401k_Training Manual: Chapter 3 – Contributions and Forfeitures And Chapter 4 – Running Valuation Calculations (Running Contributions by Location)
Earnings Allocations	<ul style="list-style-type: none"> ◆ Source – Weighting on Current Contributions/Withdrawals/Transfers ◆ Funds and Fund Definition screen ◆ Earnings Interest Groups ◆ Earnings Definitions ◆ Earnings (split by sources) 	13:51 min/sec Laura Houston	DC_401k_Training Manual: Chapter 1 – Plan Specifications; begin with page 1-58 And Chapter 4 – Running Valuation Calculations (Running Interest from Balance)
Fund Transfers	<ul style="list-style-type: none"> ◆ Transfers to redistribute balances ◆ Transfers based on Fund Elections ◆ Fund Percents added for Participant Elections 	16:08 min/sec Laura Houston	DC_401k_Training Manual: Chapter 6 – Transfers
Disbursements	<ul style="list-style-type: none"> ◆ Types of Disbursements - Partial/Full ◆ Manual Edit on Values Screens ◆ Enter Multiple Participants via Grid Input ◆ Import amounts to Values or as Transactions ◆ Use Disbursement Module Wizard 	9:42 min/sec Ruth Flad	DC_401k_Training Manual: Chapter 8 – Withdrawals or Disbursements
Participant Loans	<ul style="list-style-type: none"> ◆ Plan Specifications – Loan-LOANCTL ◆ Loan Descriptions (Loan 1-10) ◆ Create New Loan using Wizard ◆ Calculate Payment/Period ◆ Print Amortization Schedule 	14:27 min/sec Ruth Flad	DC_401k_Training Manual: Chapter 9 – Loan Processing
Insurance Co. Downloads (IMPORTER)	<ul style="list-style-type: none"> ◆ Multiple Fund House Imports ◆ Generic Import ◆ Scan/Map Funds/Sources ◆ Transactions or Fields ◆ Options: Print Report and Import 	5:57 min/sec Ruth Flad	DC_401k_Training Manual: Chapter 5 – Loading Data from Insurance and Fund Companies

Training Video	Description: What is covered in this section	Video Length and Speaker	Manual Reference Sites
Using Transactions	<ul style="list-style-type: none"> ◆ When to Use? ◆ Advantages of Using Transactions ◆ Input Fund Percents (Transactions) ◆ Import Transactions ◆ Input Transactions Grid (Group Input) ◆ Perform Share Accounting 	14:15 min/sec Brad Watson	DC_401k_Training Manual: Chapter 7 – Transactions And Appendix 1 – Share Accounting
Reports Overview	<ul style="list-style-type: none"> ◆ Reports – Valuation ◆ Employee Statements ◆ Reporter 	6:06 min/sec Ruth Flad	Reports Reference Handbook
Table Maintenance	<ul style="list-style-type: none"> ◆ DB and DC plans ◆ Vesting Schedules (years begin with 1) ◆ Matching Formulas ◆ Entry Dates ◆ Cash Balance Formula Tables ◆ Annuity and Mortality Rates ◆ PV Factors 	8:27 min/sec Sheryl Stucky	Systems Reference Manual: Chapter 6 – Table Maintenance
Budget	<ul style="list-style-type: none"> ◆ When to use the Budget ◆ Plan Spec and EE Preparation ◆ Budget Setup ◆ Sample Cases and Results ◆ Tips and Troubleshooting 	40:02 min/sec Sheryl Stucky	Budget Manual
Budget Design Calculator Webcast	Found under Other Web Seminars	66:00 min/sec Ruth Flad	
Miscellaneous	<ul style="list-style-type: none"> ◆ Change Structure options ◆ Safe Harbor plans ◆ Takeovers ◆ Processing Steps for periodic valuations and Proposals 		Systems Manual, Chapter 9 and DC_401k_TrainingManual, Chapters 10, 11 and 12

Compliance Testing Video and Manual References

Table 2 Summary of Videos and Manuals with Reference to chapter or section

Training Video	Description: What is covered in this section	Video Length and Speaker	Manual Reference Sites
Compliance Overview	<ul style="list-style-type: none"> ◆ Introduction ◆ Preparation of Case ◆ Order of Testing 	9:48 min/sec Sheryl Stucky	Compliance Manual
HCE & Key Determination	<ul style="list-style-type: none"> ◆ Code Employee Screens for relationships ◆ Calculate Both HCE/Key ◆ HCE's only Current or Next Year ◆ Key Individual Calculations ◆ Projected Calculation 	8:46 min/sec John Connors	Systems Reference Manual: Chapter 5 – Determining HCE/Key Employees Compliance Manual
Coverage and N/D Tests	<ul style="list-style-type: none"> ◆ 414(s) Compensation Test ◆ 410(b) Ratio Percentage Test ◆ 401(a)(4) Test <ul style="list-style-type: none"> ○ Rate Group testing for cross-tested plans ○ Average Benefits Test for coverage only ◆ Benefits Rights and Features Test 	19:23 min/sec Sheryl Stucky	Compliance Manual
Top Heavy Test Minimum Calculation	<ul style="list-style-type: none"> ◆ 416 Top Heavy Determination Date ◆ Print Report ◆ 416 Minimum Top Heavy contribution posted as a transaction and/or report 	8:39 min/sec John Connors	Compliance Manual
402g, Plan Limits & 415	<ul style="list-style-type: none"> ◆ Importance of testing order for catchups ◆ 402g (save results) ◆ Off-Calendar Plans (run twice) ◆ Plan Limits (save results) ◆ 415 	13:47 min/sec John Connors	Compliance Manual
ADP/ACP Test	<ul style="list-style-type: none"> ◆ Safe Harbor Plan ◆ Basic Plan ◆ Puerto Rico Plans ◆ Prior Year Testing ◆ QNEC failures ◆ Excess Contributions ◆ Reports 	36:02 min/sec John Connors	Compliance Manual

5500 Training Series - DGEM

Table 3 Summary of Videos and Manuals with Reference to chapter or section

Training Video	Description: What is covered in this section	Video Length and Speaker	Manual Reference Sites
Form 5500 Training Series Overview	<ul style="list-style-type: none"> ◆ Introduction ◆ Video series will cover: 	2:13 min/sec Laura Houston	5500 User Guide EFAST2 FAQs online
Chapter 1- Getting Started with DGEM	<ul style="list-style-type: none"> ◆ Introduction/Login/Menu/Navigation ◆ Form 5500 User Guide & Release Notes ◆ FAQs and Contacting Support ◆ Manage Plan Documents Screen ◆ Find Functionality/Filter Features ◆ 5500 Form Tools wizard 	5:32 min/sec Laura Houston	5500 User Guide EFAST2 Chapter 2: Getting Started FAQs online
Chapter 2- Working and Creating Forms	<ul style="list-style-type: none"> ◆ Create New Forms ◆ Editing Data/Saving Forms ◆ Validation with Data Checks/Warnings ◆ Working with Schedules/Attachments ◆ Printing Forms 	17:14 min/sec Laura Houston	5500 User Guide EFAST2 Chapter 2 Working with Form 5500s FAQs online Systems Reference Manual: Chapter 7 – DGEM/CATTS and ASC Integration
Chapter 3 – Filing Forms to EFAST2	<ul style="list-style-type: none"> ◆ Invite Signers ◆ Resending the Invite Signer Email ◆ Working with Attachments ◆ Using the Signing Portal ◆ Using Electronic Signature Feature ◆ Using Alternative Electronic Signature 	6:12 min/sec Laura Houston	5500 User Guide EFAST2 Chapter 3: Filing with EFAST2 FAQs online
Chapter 4 – Related Forms to EFAST2	<ul style="list-style-type: none"> ◆ Form 5558, Single and Batch ◆ Form 5330 ◆ Generating an SAR or AFN ◆ Form 8955-SSA, Importing data ◆ Fire Filing ◆ Working with PBGC Forms ◆ Creating the XML file to Upload to PBGC 	24:43 min/sec Laura Houston	5500 User Guide EFAST2 Chapter 4: Related Documents and Forms Systems Reference Manual: Chapter 7 – DGEM/CATTS and ASC Integration

Training Video	Description: What is covered in this section	Video Length and Speaker	Manual Reference Sites
Chapter 5 – 5500 Emails	<ul style="list-style-type: none"> ◆ 5500 Emails ◆ Sending IREG Emails ◆ Managing Account Reps ◆ Export/Import ◆ Custom Email Templates 	8:25 min/sec Laura Houston	5500 User Guide EFAST2 Chapter 5: Related Emails
Chapter 6 – Importing Data into DGEM	<ul style="list-style-type: none"> ◆ Importing Signer Email Data ◆ Importing EFAST2 XML Files ◆ Importing DOL Data Sets ◆ Importing Data from ASCVal 5500 data, Schedule SB, Schedule H, Schedule I, PBGC ◆ Importing IREG Email Addresses 	7:58 min/sec Laura Houston	5500 User Guide EFAST2 Chapter 6: Importing Data Systems Reference Manual: Chapter 7 – DGEM/CATTs and ASC Integration



ASC is Here for You



ASC provides innovative, cost effective retirement systems that help you stay competitive in this complex industry. All systems are developed and supported by experienced retirement industry professionals who understand your needs.

The systems share data via automated integration, providing maximum efficiency and profitability.

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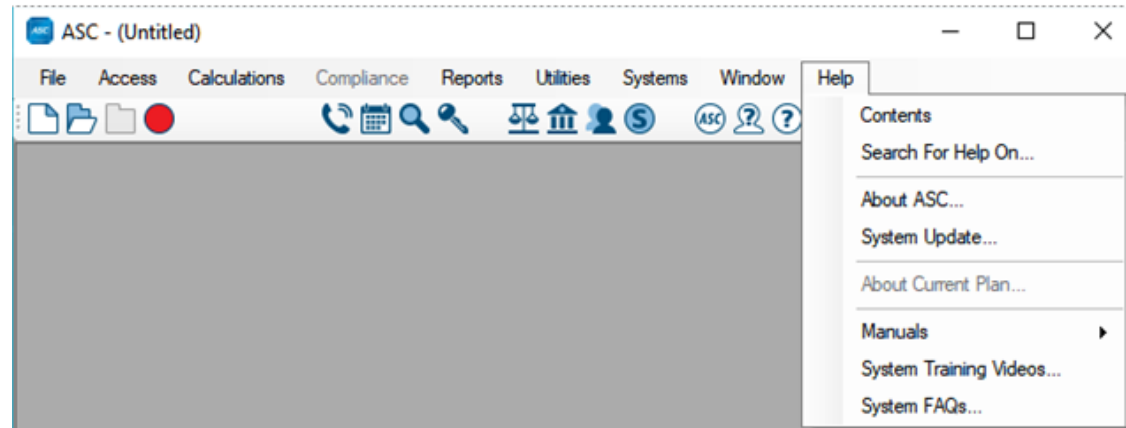
Navigating in ASC

Study Guide

Navigating in ASC

(Watch videos from ASC main menu-Help link)

[System Training Videos Link](#)



(Help>Manuals>Systems Reference Manual, Preface)

Q1. The 3 Menus that open when you boot up ASC:

1. _____

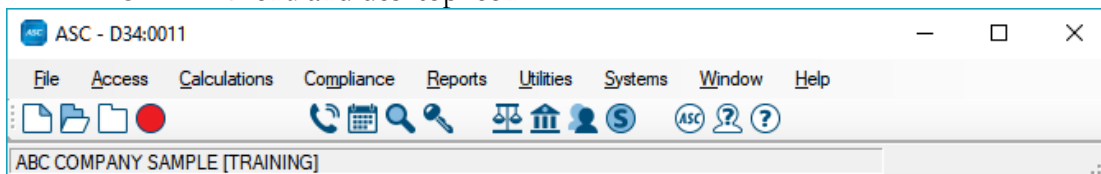
2. _____

3. _____
















Icons, menus, mouse and keyboard directions:



ASC's main menu and desktop icon.

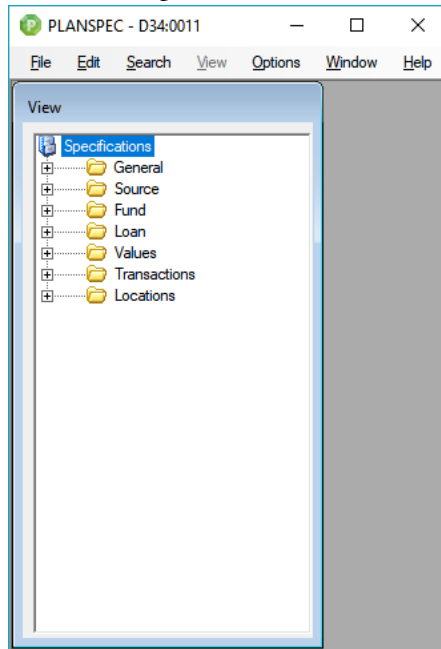


Navigating in ASC

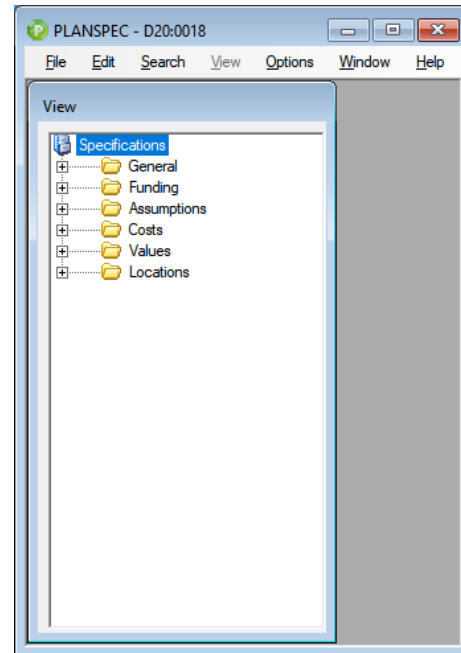
-  New Plan
-  Open Existing Plan
-  Close Plan
-  Exit ASC System
-  Invoke Participant Inquiry System
-  Invoke Daily Valuation System
-  Invoke Daily Valuation Viewer
-  Gemini Web Portal
-  DGEM Plan Documents
-  5500 and Other Governmental Forms
-  Client and Task Tracking System (CATTS)
-  Silver Support from our ERISA attorneys
-  ASC Home Page
-  Client Support Center
-  Access Online Help

Navigating in ASC

47.  Plan Specifications menu.



Defined Contribution View



Defined Benefit View

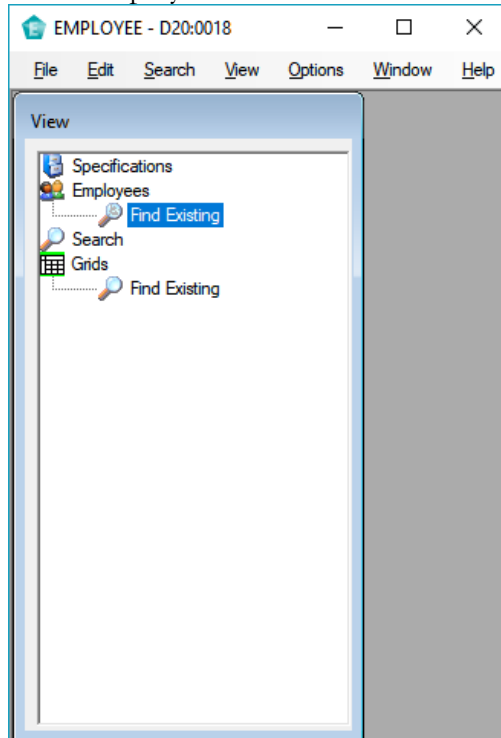


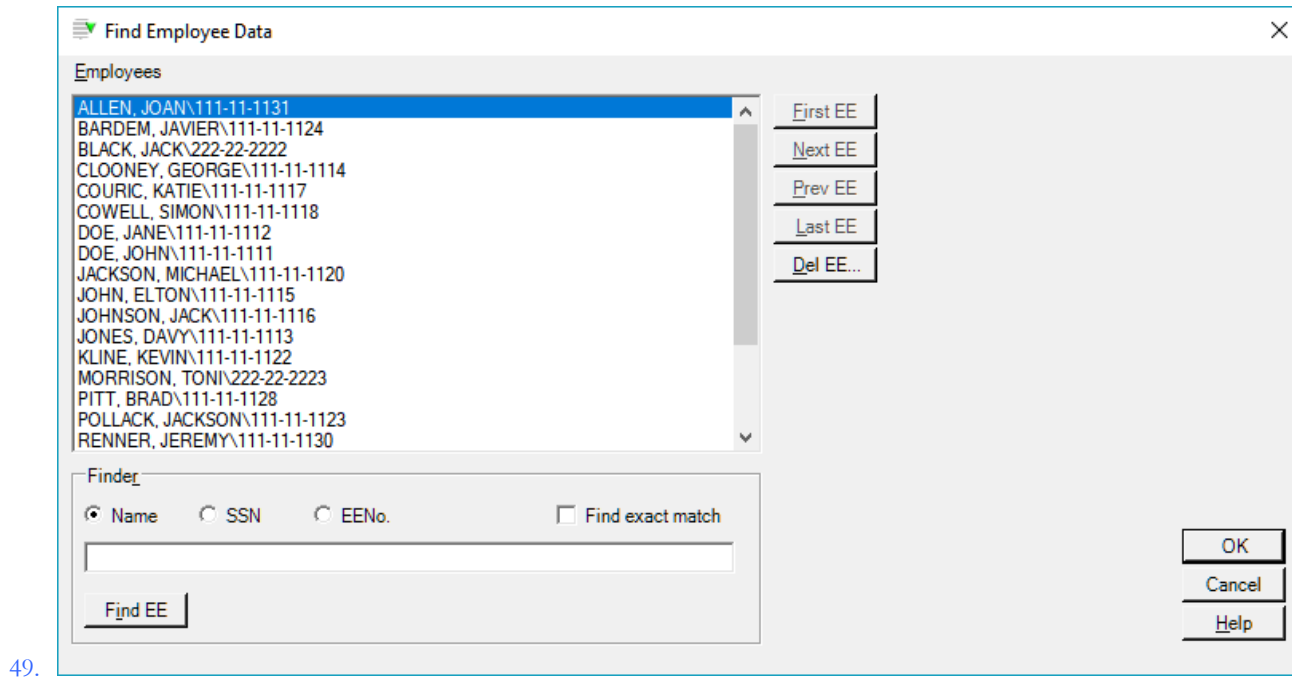
ASC menu, click on **Access >**



Plan Specifications.

48.  Employee Data menu.





ASC menu, click on **Access** >  **Employee Data**.

Plan Management in ASC

(Help>Manuals>Systems Reference Manual, Chapter 1)

Q2. What is a Pattern Plan and which should you use?

Q3. What is meant by Library (ex. D12)?

To create a new plan:



ASC menu, select **File > New Plan**. The New Plan window appears.

New Plan

Library

No.	ID	Description
1	D12	Active Client Plan
2	D13	Budget Training Plans
3	D14	Scratch Plans
4	DEF	Pattern Plans
5	D16	Project Plans
6	D17	VS Compliance Test Plans
7	D18	Importer - Special Study Plans
8	D19	Daily Valuation Plans
9	D20	Manuals - ASC Sample Plans
10	D21	Beta Release Testing Plans
11	D22	Release Testing Review Plans
12	D23	Budget Plans
13	D24	Conversion Wizard Processing

No.	Typ	Pattern Plan
5	DC	ORIGINAL PATTERN PLAN
6	DC	DC PATTERN PLAN
7	DB	DB PATTERN PLAN
8	DC	TARGET PATTERN PLAN
13	DC	PATTERN PLAN 2008

Name
ABC Company

Memo
Sample Test

Client Number
123ABC

OK Cancel

To open a plan:



ASC main menu, select **File > Open Plan**. The screen appears as follows after clicking on Show Plans:

Open Plan

Library

No.	ID	Description
1	D12	Active Client Plan
2	D13	Budget Training Plans
3	D14	Scratch Plans
4	DEF	Pattern Plans
5	D16	Project Plans
6	D17	VS Compliance Test Plans
7	D18	Importer - Special Study Plans
8	D19	Daily Valuation Plans
9	D20	Manuals - ASC Sample Plans
10	D21	Beta Release Testing Plans
11	D22	Release Testing Review Plans
12	D23	Budget Plans
13	D24	Conversion Wizard Processing
14	D25	ASCVAL and DGEM Import Revi...
15	D26	Scratch Plans for Training
16	D27	Budget SP_Part TestingVS
17	D28	Loan Inquiry and Review
18	D29	Webcast Training Sample Plans
19	D30	ASCNET_NEW CASES ADDED
20	D31	PLANS FOR TEST SCRIPTING
21	D32	New Plan Conversions
22	D33	ELIGIBILITY ENHANCEMENTS ...
23	D34	TRAINING ALL PLANS
24	D35	Copy out Plans Wizard Test

Plan

Name	No.	Typ	Client	Memo
1099r - TEST EXTRACT	30	DC		Sample plan
ABC COMPANY	9	DC		
ASC COMPLIANCE MANUAL	7	DC		ACCOUNT TYPE 9 401K PA...
ASC DEMONSTRATION PLAN	20	DC		
ASC ESOP TRAINING COMPANY	25	DC		
ASC MANUAL SAMPLE	10	DC		
ASC REPORTER MANUAL SAM...	27	DC		
ASC TRAINING CASE	16	DC	12345	SAMPLE
ASC TRAINING CASE	17	DC	12345	SAMPLE
ASC TRAINING CASE	35	DC	12345FG	SAMPLE
BGT- CORP PRINCIPAL DESIGN	2	DC		Budget Manual - 2017
BGT- CORP TIER 401a4	1	DC		Budget Manual - 2017
BGT- PTNR TIER 401a4	6	DC		Budget Manual 2017
BGT-SOLE PROP	5	DC		Budget Manual - 2017
BGT-SOLE PROP - W2 ILLUSTR...	34	DC		
BLUE ASH TOOL & DIE COMPA...	33	DC		
Calc Periodic ER Contribution	26	DC		
Calc Periodic ER Contribution	29	DC		SAMPLE PLAN
Cash Balance Plan	18	DB	12346	Illustration
DISBURSMENT WIZARD	24	DC		Transfers
IMPORTER	8	DC		
IRC 401(a)(26) TEST FILE	22	DB		1/1/2011 VAL
Ruth Flad Company 401K Plan	21	DC		
SAMPLE COMPANY	13	DB		
SAMPLE COMPANY	15	DB		
SAMPLE PARTNER - NONOWN	28	DC		must run separately see manu...

Plan Number: 18 Client No.:

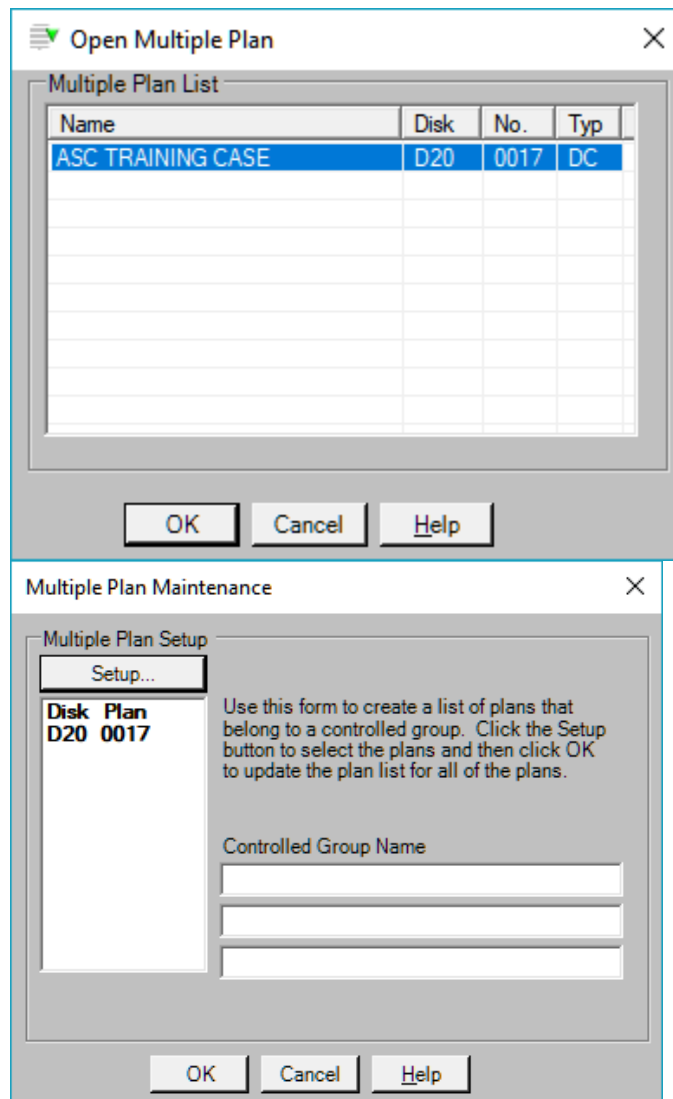
OK Cancel Show Plans ☒ Sorted Help

Q4. How can you change the order(s) of the Plans that list in the Open Plan window?

Multiple Plan View and Open Plan:

When you have an open plan and it has plans on the multiple plan list and

you do  *ASC main menu*, select **File > Open Plan** command (or the icon) you see this:



To copy a plan:

To copy a plan, you first need to create a new plan (refer to page 1-1). Then from this opened **new plan** copy the other plan into this one.



ASC main menu, select **File > Open Plan** from this new plan. Select “Quick Copy”, click on the **Setup** button to select the plan to copy from, next click **OK**.

The 'Copy Plans' dialog box contains the following elements:

- Copy Option:** A group box with five radio buttons:
 - Standard Copy
 - Quick Copy (Recommended) - selected
 - Copy Plan Specifications Only
 - Copy and Clear Employee Fields
 - Merge Census from another plan
- Maintain Records:** Three checked checkboxes:
 - Maintain Transaction Records
 - Maintain History Records
 - Maintain Plan Specifications
- Copy from Plan:** A text field containing 'Disk Plan' and a 'Setup...' button to its right.
- Copy only Employee Key:** A text field with a search icon to its right.
- Buttons:** 'OK', 'Cancel', and 'Help' at the bottom.

To update a plan:



ASC menu, select **Calculations > Update to New Period**. The New Plan window appears.

The 'Update to New Period' dialog box contains the following elements:

- Update Option:** Two radio buttons:
 - Annual Update - selected
 - Mid-year Update
- Backup Files:** Two radio buttons:
 - Do not create prior to update
 - Create for case prior to update - selected
- Source Information:**
 - Source Containing After-Tax Contributions:** A dropdown menu showing '0 None'.
 - Sources to include for Top-Heavy Distributions:** A list box with three checked items: DEFERRAL, EMPLOYER, and MATCHING.
- Processing Options:**
 - ☐ Reset "Fund Elections Changed"
 - ☐ Create ZZ records for part-vested terms
 - ☒ Process election percent transactions
 - ☐ Delete terminated ee's with no activity
 - ☐ Delete ee's terminated before date
 - Cutoff Date: 01/01/2019
 - ☐ Store 1 hr in history for inelig. EEs with blank hours
 - Status Codes: SYI
 - ☐ Convert terminees (other than HMN) to status T/W
 - Status Codes: RD
- Transaction Options:**
 - ☐ Delete Processed Trans. Purchased in Prior Years
 - ☐ Delete Share Prices from Prior Years
 - ☐ Delete Allocation Percents from Prior Years
- Buttons:** 'OK', 'Cancel', and 'Help' at the bottom.

To create a portable copy of a plan:

1. ASC main menu, select **File > Portable copy** from the opened plan you want to copy.
2. Confirm the **Copy OUT to Files from Plan** is selected.
3. Click on **Setup** in the “File Information” box to tell the system where the portable copy files should be stored. The system defaults the path name to the NDM\TEMP directory. The file name is the Disk number, and plan number.
4. Click on the **OK** button to create the portable copy.
5. If you have more than one case you can create a Multiple Plan Portable copy and this will generate a special file with the MP extension which holds all attached cases.

NOTE: The portable copy will create approximately 11 files for an DC plan type and approximately 8 files for a DB plan type; each file name beginning with the disk/plan numbers and with different file extensions. If you intend to move this portable copy to another location via email or transfer you will need to include all 11 or more files.

Portable Copy

☐ Multiple Plans
Multiple Plan Setup...

Copy Option
☐ Copy OUT to Files from Plan
☒ Copy INTO Plan from Files

☐ Merge Duplicate Price File
☒ Import tables

Social Security Number
☒ Yes ☐ Mask ☐ No

File Information
File: **Setup...**
Path:

OK **Cancel** **Help**

Q5. Can you view multiple plans at the same time and under what circumstances?

Q6. What is a portable copy and when might you need it?

Q7. What is the best way to provide ASC with a combination DB/DC or multiple DC portable copy?

Q8. How do you copy one plan to another plan/disk library in ASC?

Step 1: _____

Step 2: _____

Q9. When do you update a plan in ASC? (See also chapters 10 and 11)

Mid-Year: _____

Annual: _____

Q10. Where are the ASC manuals located?

Printing options in ASC

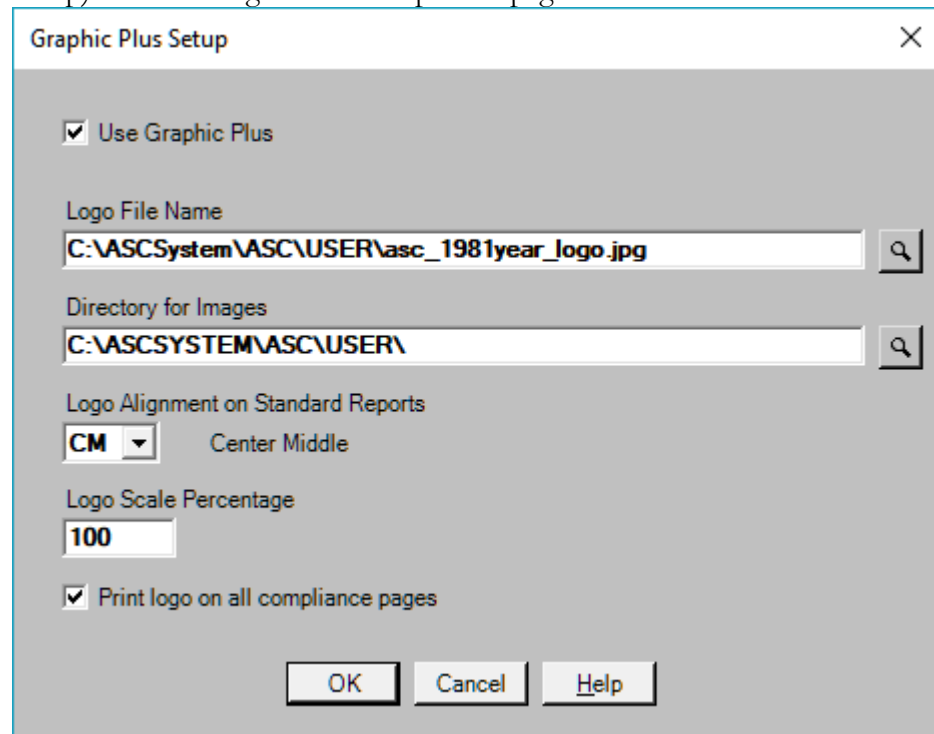
(Help>Manuals>Systems Reference Manual, Chapter 1)

To setup the default graphic printer:



ASC main menu, select **File > Printer Setup (Graphic)**. Click on Selected Printer and scroll to find the printer you want to set as the default for ASC.

You may also setup a text printer, Print a Logo Image (using Graphics Plus Setup) and Print logo on all compliance pages.



Setting up Plan Specifications

(Help>Manuals>DC\401K Training Manual, Chapter 1)

Once you have created a new plan, you can set up general plan specifications for the plan.

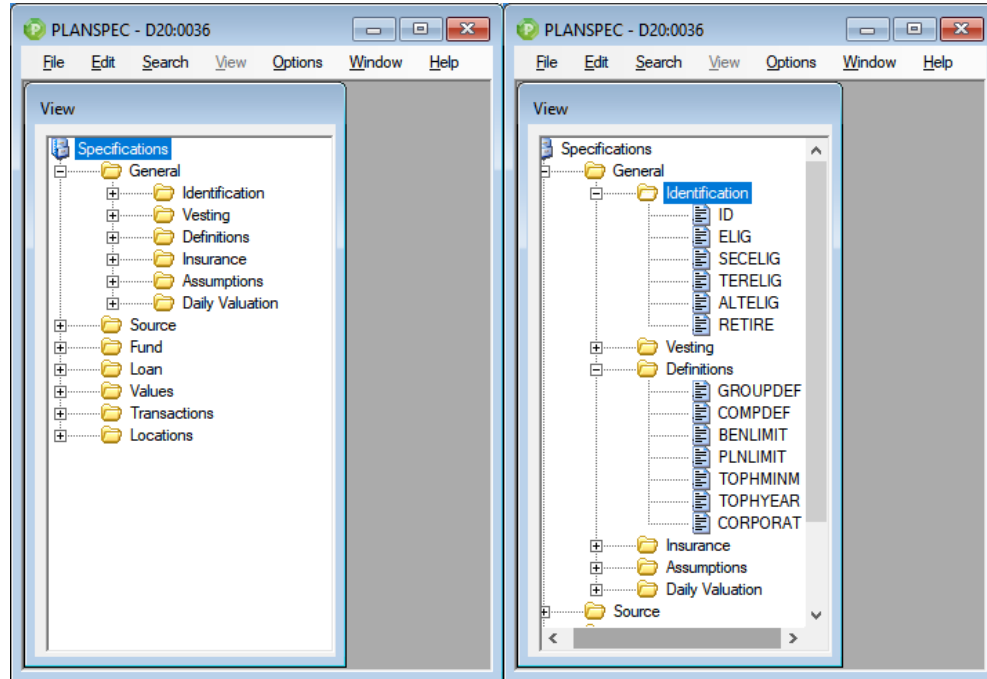
To set up general plan specifications:



ASC menu, select Access > Plan Specs

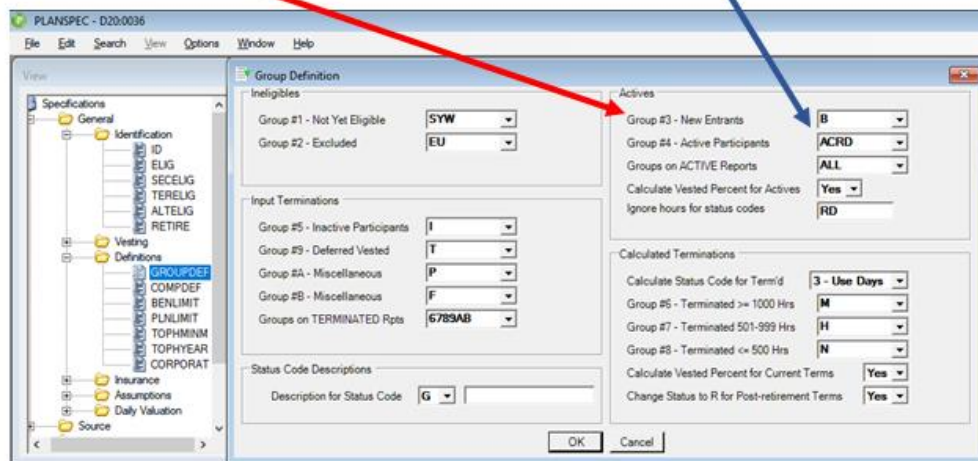


PLANSPEC menu, select View > General



GROUP CODES

STATUS CODES



Q11. What are the Forms that list under the General-Identification folder?

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____

Q12. What order should you code primary, secondary and tertiary Eligibilities?

Q13. How should you map a Vesting Schedule to a specific Source?

Q14. List the Forms under General – Definitions

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____

Q15. Which Definition form controls the status codes and groups and EEs who will show up on reports? _____

Q16. Which Definition form will show you the maximum 415 and 404 coding?

Q17. Is there a way to assign 100% immediate vesting to a specific source? _____

Q18. Where does the 401(a)(4) test find age definition, mortality and interest rates?

Q. How many sources/funds are available in ASC? Sources _____ Funds _____

Important note: ASC recommends setting up Uniform Sources in a Pattern Plan and Source Description codes in Global Specifications. When this is complete all of your plans will be similar. To deactivate sources that are not necessary. Open the Source screen and remove the source description code and click on **OK**. To delete a Source use the Utilities-Change Structure-Delete/Reorganize Funds/Sources.

Q19. Can you hide Inactive sources? ____ Can you delete a source no longer used? ____

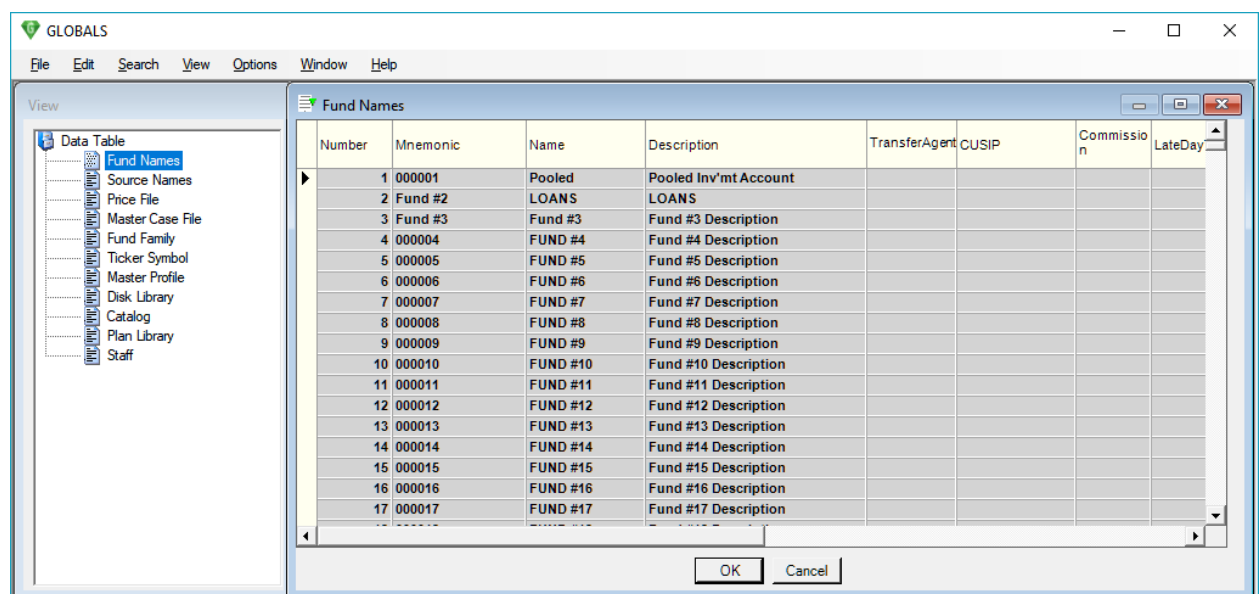
Setting up Global Specifications

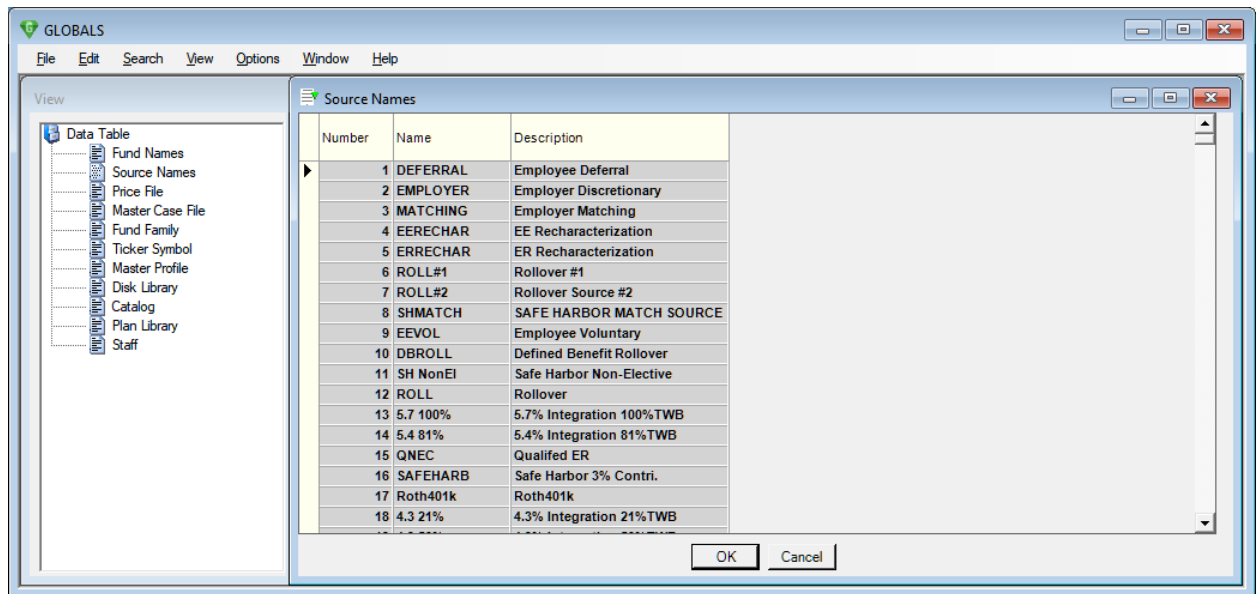
(Help>Manuals>DC\401K Training Manual, Chapter 1)

ASC recommends that you create a Uniform Source set for your company assigning Source 1-20 for all plans.

To open global specifications:

6.  ASC main menu, select **Access >**  **Global Specifications > View > Fund Names or Source Names.**
7. From the Globals menu, select **Edit > Add.**
8. Note these are GLOBAL description codes to be used in ALL plans.






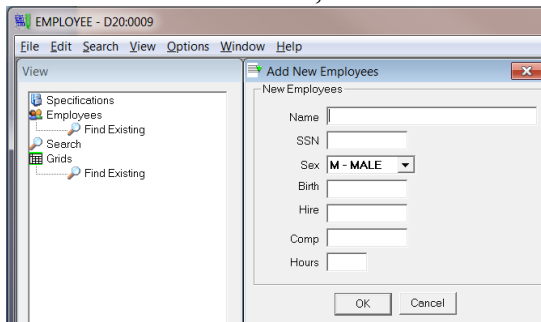
Employee Data Entry


(Help>Manuals>DC\401K Training Manual, Chapter 2)

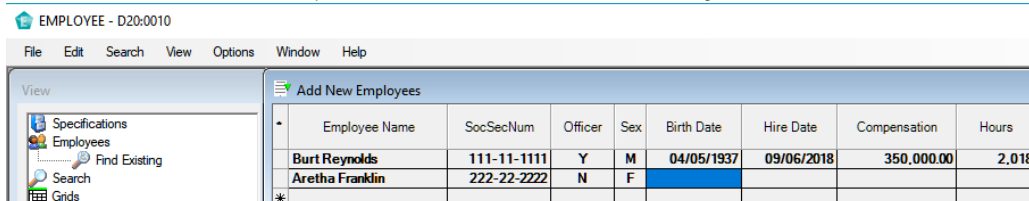
Adding new employee(s):


9.  ASC menu, select **Access > Employee Data**.

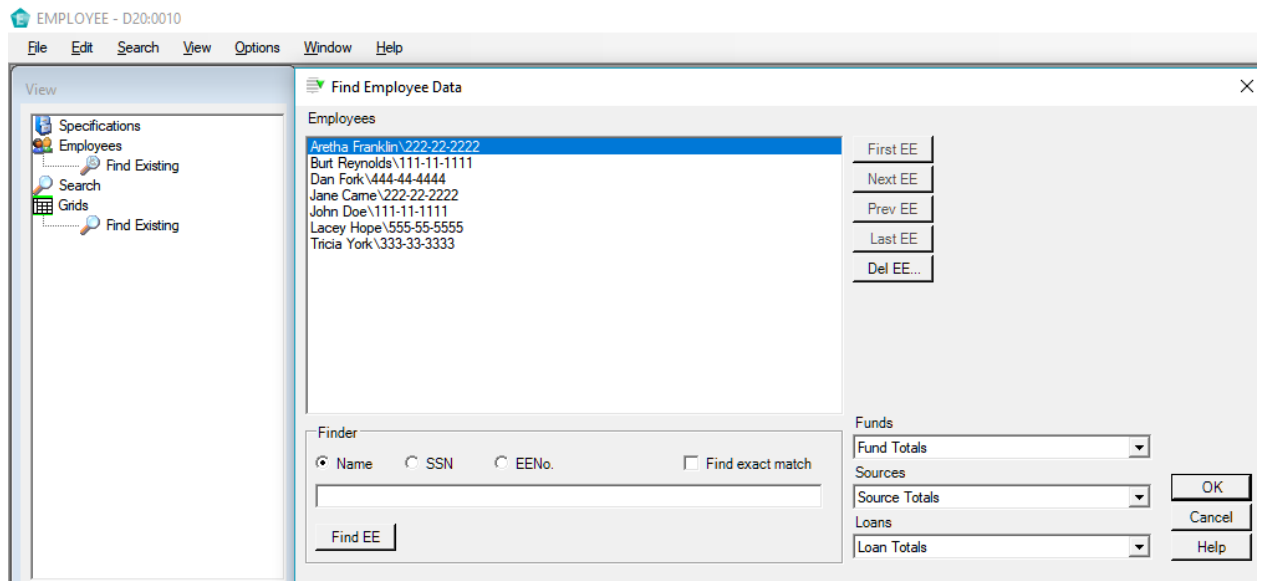
10.  EMPLOYEE menu, select **View > Add New > Single**.




11.  EMPLOYEE menu, select **View > Add New > Multiple**.



12.  **EMPLOYEE** menu, select **View > Find Existing**.



13.  **ASC** menu, select **Access>Ascript>Import**. To import employee data.
14. If you have the employee data in an existing plan on ASC, you can copy the data from one plan to another using Merge Census under File-Copy Plan. For DB plans use, Utilities-Export-DC census to DB.

Q20. List 3 ways to add employees into an ASC plan:

1. _____
2. _____
3. _____

Q21. Name a few ways you can search for an employee in an individual plan?

Q22. How can you sort employees?

Ascript – Used for more than importing (Export and Edit – one plan at a time or multiple)

Q23. How do the EE menu-Options help me with my daily work?

Auto Next: _____

Form Titles: _____

Order of Presentation: _____

Q24. What will these commands do (click on EE menu-Search)?

F4: _____

Shift F4: _____

CTRL-F7: _____

F7: _____

Shift F7: _____

F8: _____

Shift F8: _____

Q25. Where can you run Data Checks from?

Ascript – Used for more than importing (Export and Edit – one plan at a time or multiple)

(Help>Manuals>Systems Reference Manual, Chapter 3)

Before Importing into ASC, Prepare and Save the excel worksheet file

Before importing data into the ASC SYSTEM, you must make sure your Excel file is properly formatted and then save the data as xls, text, comma-delimited, or fixed-length ASCII file. This section describes how to prepare and save your Excel file before importing data.

15. Open the Excel file and print a hard copy so that you can check your modifications against the original totals.

16. Review the data and eliminate any unnecessary columns. Watch out for formulas that may reference deleted columns.
17. Delete any blank lines, headings, titles, and total lines. The first cell in the upper left-hand corner should have the first person's data in it; this cell should not be blank.
TIP: Sometimes copying all of the data into a new blank file insures that there is no junk data or empty cells in the file.
18. ASC has only one field for the Name field. If your spreadsheet has First Name in one column and Last Name in another column, concatenate the two columns into one (for the correct syntax of this function, refer to Excel's On-line Help).
19. Check the format on all date fields.

DATE format must be mmddyyyy or mm/dd/yyyy.

NOTE: Most two-digit year formats (e.g., 00) load into ASC as 19xx (e.g., 1900). For this reason, ASC requires the use of four-digit year formats.




20. Check the format on Social Security numbers. (Click on the relevant cell and select **Format > Cells**. On the **Number** tab, select Category = **Special** and Type = **Social Security Number**.)
21. Check the format on all other numeric fields. Make sure they are two decimal places, unless importing shares.
22. Select **File > Save As...**, and save the file as a tab-delimited `.txt` file. You can give the text file the same name as your Excel file if you wish. In this case, the two files will have different extensions (`.txt` and `.xls`).
You can also save the file as a comma-delimited `.csv` file or a fixed-length MS-DOS `.txt` file.
23. Close the text file and Excel. You are now ready to import the text file into ASC.
24. If you are using an `xls` format be sure to save the SSN with dashes using format 1 in ASC, do not use the special formatting mentioned in number 6 above.

Variable Import Utility – VIF

You are creating a VIF or a file with the extension VIF, which stands for Variable Import File. This VIF contains all of the mapping of the data fields in your TEXT or EXCEL file and the Itemnames or places they data will sync to in ASC employee records.

Opening the Wizard

To open the Variable Input Wizard:

25.  ASC main menu, **File > Open Plan** the desired plan to import into.
26.  ASC main menu, select **Access > Ascript**.
27.  ASCRIPT menu, select **View > Wizards > Import**. The wizard's **Start** window appears.

This wizard window enables you to define the import fields in the text file.

28. On the wizard window, click **Edit**. The Edit Fields window appears.

The **Edit Fields** window enables you to “point” your data into the fields in the ASC system. The first record in your text file should appear in the left-hand **Field** section of this window. Notice that the first field of the first record (in this example, the SSN) is highlighted. This should correspond to the first column of your spreadsheet. You can now assign characteristics to that field in the lower right-hand **Field Information** section of this window.

29. In the **Field Information** section, click **Find** to assign this field to a window and item in the ASC system. (This is similar to choosing items in the grid utility). The **Find Item** window appears.

NOTE: FORM NAMES and ITEM NAMES to change the Item Names to a given FORM NAME you **must double click** on the Form Name (not just highlight).

The first column, **Form Names**, represents the different employee windows. For each window that you select in the **Form Names** column, there will be a different set of **Item Names** in the second column. These **Item Names** represent the different data fields on the selected window.

NOTE: If the **Find Items** window shows plan specification items instead of employee items and is labeled Find Item [SP:DC] (instead of Find Item [EE:DC]), you are probably not in a plan. Check the ASC main window and review the label, ASC – Untitled means a plan is not open. If you are in the plan level and do not intend to be, close the ASCRIPT application, open up your plan, and then re-open ASCRIPT.

You can see what the field items are when you hover your mouse across a field. Note screenshot below. To turn this feature on for any workstation, edit the ASC.INI file in the C:\WINDOWS directory and add the following line to the [ASC] section of that file: ShowItemNames=Y

Q26. What does VIF indicate? Why is it important to save your VIF?

Q27. Why should you print the Report at the end of the wizard prior to updating the case?

Q28. How do you know what the subscript number is for a particular itemname? For example, the CURRCNTB field from the CONTRIB screen? Is it always the same number as the Source number? (Check Chapter 11 of the DC_401k Training Manual).

Q29. Can you skip header rows in an import (if yes, up to how many)?

Q30. Can you skip footer or Totals rows in an import?

Running a plan in ASC

(Help>Manuals>DC\401K Training Manual, Chapters 3-12, Systems Manual)

To understand how to operate the system from A-Z, watch the video on our website that runs through an entire plan.

Q31. Can you run proposals in ASC? (see Chapter 10 on Processing steps and Proposals)

Q32. Why is it necessary to import or input the contributions twice to both the Values and Contribution FORMS? (see Takeover Chapter 11)

Analysis of Contributions being posted to both VALUES and CONTRIBS

WHICH CONTRIBUTION SHOWS UP?	VALUES	CONTRIB
DEPOSIT SUMMARY	NO	YES
INVESTMENT SUMMARY OR COMPANY REPORT	YES	NO
DEPOSIT BREAKDOWN	YES	NO
CONTRIBUTIONS AND FORF. REPORT	NO	YES
COMPLIANCE TESTS (IE. ADP ETC.)	NO	YES
INCLUDES THE CATCHUP AMOUNT	YES	NO
IMPORTS VIA IMPORTER	YES	YES/NO

Importer and Fund House Daily Plan recordkeepers

(Help>Manuals>DC\401K Training Manual, Chapter 5)

Q33. You can import files from vendors such as John Hancock, American funds, etc?
True or False

Import DGEM (DC plans)

(Help>Manuals>Systems Reference Manual, Chapter 7)

Q34. You can import and compare Plan Specs from ASCs DGEM Documents?
True or False

Export DGEM (5500s, 8955-SSAs)

(Help>Manuals>Systems Reference Manual, Chapter 7)

Q35. You can export data directly to ASCs DGEM 5500 program?
True or False

Reorganize or Delete Sources/Funds

(Help>Manuals>Systems Reference Manual, Chapter 9)

Q36. You can move all of source 9 to source 5 and all of fund 8 to fund 3?
True or False

Export Plan Specs or EE data?

(Help>Manuals>Systems Reference Manual, Chapter 3 and 8)

Look in your ASC\REPORTS folder for the PlanListing.VXF file this will give you a headstart on exporting Plan Spec details across multiple plans in your database.

Q35. You can export data directly to a text or excel file across multiple plans?
True or False