



## CARES Act Topics

Click on the links below to go to the topic.

[Checklists at Your Fingertips](#)

[COVID Distribution Tracking](#)

[COVID Loan Tracking](#)

[DGEM Integration](#)

[Amendments](#)

[Partial Plan Termination & Defined Benefit Plan Freeze](#)

[Forms & Notices Delivery](#)

## Checklists at Your Fingertips

1. Create an Email template with your CARES Act Checklist attached and send it out to all your clients.

Send	Flag	Comments	To	CC	BCC	Subject	Attachments
<input checked="" type="checkbox"/>	OK	OK	paltest@asc-net.com			[DB Sample Client] CARES Act Election Form	C:\NewPensionData\WordTemplates\EmailTemplates\CARES Act\CARES Act Checklist\CARES Act Checklist.pdf
<input checked="" type="checkbox"/>	OK	OK	paltest@asc-net.com			[Sample Client DB Plan] CARES Act Election Form	C:\NewPensionData\WordTemplates\EmailTemplates\CARES Act\CARES Act Checklist\CARES Act Checklist.pdf
<input checked="" type="checkbox"/>	OK	OK	rbryan@asc-net.com			[Randy's Test Document Plan] CARES Act Election Form	C:\NewPensionData\WordTemplates\EmailTemplates\CARES Act\CARES Act Checklist\CARES Act Checklist.pdf

2. Use an Attachment field to attach a copy of the completed CARES Act checklist to the system.

### Amendments

Amd Requested By: Randy      Date Requested: 4/5/2020

Doc to Amend: PPA      Platform Update Needed: Yes      Enrollment Kits Needed: No

Description: CARES Act Amendment

Effective Date: 5/1/2020

Investment Company: Sample Investment Company  
 DB Plan Also: No  
 Safe Harbor: Yes  
 Safe Harbor Effective Date: 1/1/2018

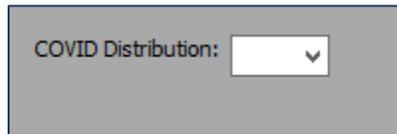
Attach Amend: 04-22-2020 Signed CARES Act Amenment.pdf

04-23-20 Completed CARES Act Checklist.pdf

Add Item
Delete Item
Open

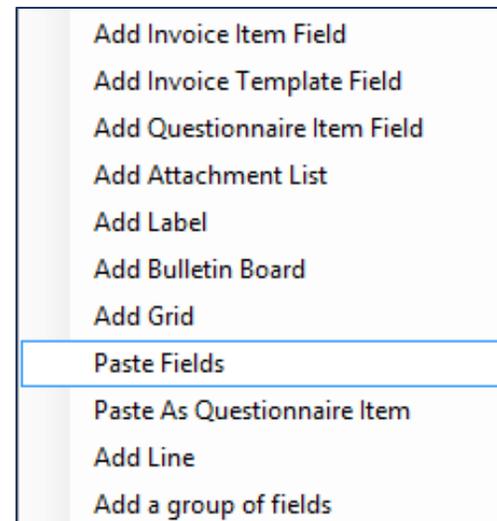
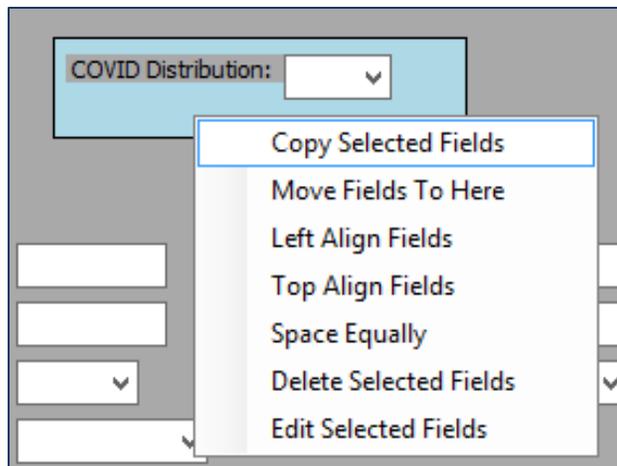
## COVID Distribution Tracking

1. Go to Manage > Form Designer and add a “COVID Distribution” Yes/No field or checkbox in the Payouts section.



COVID Distribution:

2. We recommend you copy your field and paste it on your other Payout pages instead of making a new field for each section. Click and drag around your fields to highlight them. Right-click in the light blue box and select Copy Selected Fields. Go to another page in your Payout section, right-click anywhere, and select Paste Fields.



3. Select a participant from the EE Name drop-down or click Add Employee to add a new Employee.

Employees(2) Mike Mouser Show Payouts Add Employee Initiate Workflow Email

Distri | Find

EE Name	EESN
Mary Mouser	745658888
▶ Mike Mouser	235048999

SSN:

Attached Form:

Client Is Notified

4. Click Add at the bottom to start a new record.

Distributions Correspondences

Distributions List Add Delete Fee

Distribution Type	Distribution Amount
▶	

5. Complete the distribution information. Use the Yes/No or checkbox to mark the distribution as a COVID distribution.

Mike Mouser	City: Fort Worth	E-Mail: mrmouser@happy.com
Date Of Birth: 9/9/1995	State: VA	Zip: 76104
Phone:		
<b>Distribution Tracking</b>		
<input checked="" type="checkbox"/> Distribution Paperwork Prepared	Outstanding Loans:	Dist Package Sent:
Randy 4/14/2020 Complete		
<input checked="" type="checkbox"/> Paperwork received back from Participant	Missing Info Details:	Special Notes:
Randy 4/14/2020 Complete		
<input checked="" type="checkbox"/> Paperwork Reviewed		
Randy 4/14/2020 Complete		
<input checked="" type="checkbox"/> Send to Plan Sponsor for Approval	<input type="checkbox"/> Receive Approval by Plan Sponsor	
Randy 4/14/2020 Complete	Randy 4/16/2020 In Progress	
<input type="checkbox"/> Process with Custodian		
.....		
<input type="checkbox"/> Received TPA Fee	Scanned By:	COVID Distribution: Yes
.....		YES

6. Workflow Managers can use the Customize Columns button on their Dashboard to add the COVID Distribution field to their grid to help with tracking COVID Distributions.

The screenshot shows the 'My Workflow' dashboard. At the top, there are navigation buttons: 'For Managers', 'Excel', 'New Task', 'Refresh', and 'Customize columns'. Below these are filters: 'To Be Completed By' (set to 'Randy'), 'Projects' (set to 'Distributions'), and 'Status' (with radio buttons for 'All', 'Not Started', 'In Progress', 'Complete', 'Overdue', 'Not Claimed', 'In Progress Or Overdue Or Not Cl', and 'Overdue(Not Claimed)').

Below the filters, it says '3 Records'. There is a search bar with 'Enter text to search...' and 'Find'/'Clear' buttons. Below the search bar is a table with columns: Client ID, Plan Name, Plan Year, COVID Distribution, and Employee.

Client ID	Plan Name	Plan Year	COVID Distribution	Employee
22-3026292-008	Test Plan	0		John01 Joe 32
1001	Demo Client 1001 401(k) Plan	0	Yes	Demo Person
82299	Mickey Mouse Fan Club 401(k) Plan	0	Yes	Mike Mouser

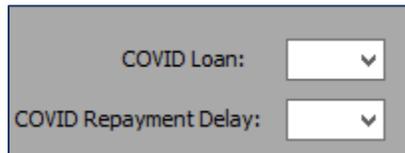
A 'Customize Columns' dialog box is open over the table. It has an 'OK' button and a 'Cancel' button. The dialog contains a list of fields: [Client ID], [Plan Name], [Plan Year], [COVID Distribution] (highlighted), [Employee], [Form], [Step], [Due Date], [Status], [Notes], [Detail], [Parent Step], [To Be Completed By], [To Be Completed By Group], [Status Of Plan], [Administrator], [Assistant Administrator], [Assigned By], [Date Assigned], [Date Completed], [Completed By], [Checklist not completed]. There are also 'Move Up', 'Move Down', 'Add Field', and 'Remove Field' buttons.

7. Report users can add the COVID Distribution field to their report to track. Add the right-click NULL criteria to the Payout processed field to only track the distributions that have not been processed yet.

<span>Save</span> <span>OK</span> <span>Save As...</span> <span>View Data</span> <span>Included Contacts</span> <span>Import Query</span> <span>Import External Population</span> <span>M</span>								
	Show	Form	Field	Sort	GroupBy	And OR	= >	Criteria 1
<input checked="" type="checkbox"/>		Client Data	Client Name	▼	▼	▼	= ▼	
<input checked="" type="checkbox"/>		General Informa...	Plan Name	▼	▼	▼	= ▼	
<input checked="" type="checkbox"/>		General Informa...	Status Of Plan	▼	▼	▼	= ▼	Active ▼
<input checked="" type="checkbox"/>		General Informa...	Administrator	▼	▼	▼	= ▼	Randy A. Bryan ▼
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Distributions	COVID Distribution	▼	▼	▼	= ▼	Yes ▼
<input checked="" type="checkbox"/>		Distributions	EE Name	Ascend...	▼	▼	= ▼	
<input checked="" type="checkbox"/>		Distributions	EE Address 1	▼	▼	▼	= ▼	
<input checked="" type="checkbox"/>		Distributions	EE City	▼	▼	▼	= ▼	
<input checked="" type="checkbox"/>		Distributions	EE State	▼	▼	▼	= ▼	▼
<input checked="" type="checkbox"/>		Distributions	EE Zip	▼	▼	▼	= ▼	
<input checked="" type="checkbox"/>		Distributions	EE Date Of Birth	▼	▼	▼	= ▼	
<input checked="" type="checkbox"/>		Distributions	Distribution Type	▼	▼	▼	= ▼	▼
<input checked="" type="checkbox"/>		Distributions	LS Amount	▼	▼	▼	= ▼	
<input checked="" type="checkbox"/>		Distributions	Distribution Amo...	▼	▼	▼	= ▼	
<input checked="" type="checkbox"/>		Distributions	Taxable Amount	▼	▼	▼	= ▼	
<input checked="" type="checkbox"/>		Distributions	Dist Forms Sent	▼	▼	▼	= ▼	
<input checked="" type="checkbox"/>		Distributions	Payout Type	▼	▼	▼	= ▼	▼
<input checked="" type="checkbox"/>		Distributions	Payout Processed	▼	▼	▼	= ▼	NULL

## COVID Loan Tracking

1. Go to Manage > Form Designer and add your COVID Loan Tracking Fields.



The image shows a screenshot of a form designer interface. It contains two dropdown menus stacked vertically. The top dropdown is labeled "COVID Loan:" and the bottom dropdown is labeled "COVID Repayment Delay:". Both dropdowns have a small downward-pointing arrow on the right side, indicating they are expandable.

2. Select the participant, click add at the bottom, and complete the loan request information. Use your COVID fields to flag the request as COVID or not.

Mary Mouser      City: Shreveport  
Date Of Birth: 11/26/1993      State: VA      E-Mail: mrsmousers@happy.com  
Zip: 71107      Phone: \_\_\_\_\_

### Loan Tracking

<input checked="" type="checkbox"/> Loan Paperwork Prepared	Randy	4/15/2020	Complete
<input checked="" type="checkbox"/> Paperwork Received Back From Participant	Randy	4/15/2020	Complete
<input checked="" type="checkbox"/> Loan Request Reviewed	Randy	4/15/2020	Complete
<input checked="" type="checkbox"/> Send to Plan Sponsor for Approval	Randy	4/15/2020	Complete
<input type="checkbox"/> Process With Custodian	.....	.....	.....
<input type="checkbox"/> Send Amortization Schedule	.....	.....	.....
<input type="checkbox"/> Received TPA Fee	.....	.....	.....

Outstanding Loans: \_\_\_\_\_  
Loan #: \_\_\_\_\_  
 Receive Approval from Plan Sponsor  
Randy      4/25/2020      In Progress

COVID Loan: Yes  
COVID Repayment Delay: Yes

Scanned By: \_\_\_\_\_

# \$0

Missing Info Detail: \_\_\_\_\_  
Special Notes: \_\_\_\_\_

3. Add the fields to your Dashboard or your report for tracking purposes.

# PensionPal<sup>®</sup>

An ASC Company

Show	Form	Field	Sort	GroupBy	And OR	Criteria 1
<input checked="" type="checkbox"/>	Client Data	Client ID	Ascend...		=	
<input checked="" type="checkbox"/>	Client Data	Client Name			=	
<input checked="" type="checkbox"/>	General Informa...	Plan Name			=	
<input checked="" type="checkbox"/>	General Informa...	Status Of Plan			=	Active
<input checked="" type="checkbox"/>	General Informa...	Administrator			=	Randy
<input checked="" type="checkbox"/>	Loans	COVID Loan			=	Yes
<input checked="" type="checkbox"/>	Loans	EE Name			=	
<input checked="" type="checkbox"/>	Loans	EE Address 1			=	
<input checked="" type="checkbox"/>	Loans	EE City			=	
<input checked="" type="checkbox"/>	Loans	EE State			=	
<input checked="" type="checkbox"/>	Loans	EE Zip			=	
<input checked="" type="checkbox"/>	Loans	EE Date Of Birth			=	
<input checked="" type="checkbox"/>	Loans	Date Sent To Participant			=	
<input checked="" type="checkbox"/>	Loans	Loan Amount			=	
<input checked="" type="checkbox"/>	Loans	Payment Frequency			=	
<input checked="" type="checkbox"/>	Loans	Payment Amount			=	
<input checked="" type="checkbox"/>	Loans	Interest Rate			=	
<input checked="" type="checkbox"/>	Loans	First Payment Date			=	
<input checked="" type="checkbox"/>	Loans	COVID Repayment Delay			=	
<input checked="" type="checkbox"/>	Loans	Fee Amount			=	
<input checked="" type="checkbox"/>	Loans	Payout Type			=	
<input checked="" type="checkbox"/>	Loans	Payout Processed			<>	NULL

Enter text to search... Find Clear

---

Drag a column header here to group by that column

Client ID	Plan Name	Plan Year	COVID Loan	Employee	Form	COVID Repayment Delay	Step	Due Date	Status
82299	Mickey Mou...	0	Yes	Mary Mouser	Loans	Yes	Receive Ap...	4/25/2020	In Progress

- Add your CARES Act fields to your Payout Bulletin Boards to keep your distribution team/processor in the loop and save them from clicking back and forth between pages.

<b>Distributions</b>		<b>Hardships</b>	
1099: <input type="text"/>		Hardship Allowed: <input type="text" value="Yes"/>	
Distribution Option: <input type="text" value="Lump Sum &amp; RMD Partial or Installment"/>		Hardship From Accounts: <input type="text" value="EE Deferrals Only"/>	
Distribution Freq: <input type="text" value="Upon Request"/>			
Forceout Amount: <input type="text" value="5000"/>	Forceout Excl Rollovers: <input type="text" value="No"/>		
		<b>In-Service Distributions</b>	
Rollover Dist: <input type="text" value="At Any Time"/>		In Service Distribution: <input type="text" value="Yes"/>	
QISA?: <input type="text" value="No"/>		Age: <input type="text" value="59.5"/>	
		Allocated Years: <input type="text"/>	
		Participation Years: <input type="text"/>	
		In Service From Accounts: <input type="text" value="All Fully Vested"/>	
			<b>CARES Act</b>
			COVID Distribution Allowed: <input type="text" value="Yes"/>
			COVID Loans Allowed: <input type="text" value="Yes"/>
<b>Loans</b>			
Loans Allowed: <input type="text" value="Yes"/>			
Loans From Accounts: <input type="text" value="All Accounts"/>			
Loans For Hardship Only: <input type="text"/>		In-Plan Roth Conversion: <input type="text" value="No"/>	

Employees(2)  Show Payouts Add Employee Initiate Workflow Email Phone Log Update Address Attach Form View Attached Form

**Distributions** Attached Form:

Client Is Notified

Address 1:

SSN:  Address 2:

City:  E-Mail:

Administrator: Randy  
Investment Company: Sample Investment Company  
Hardship Allowed: Yes  
Loans: Yes  
Forceout Amount: 5000  
Forceout Excludes Rollovers: No  
COVID Distribution Allowed: Yes

Employees(2)  Show Payouts Initiate Workflow Add Employee Email Update Address Attach Form View Attached Form

**Loans** Attached Form:

Client is notified

Address 1:

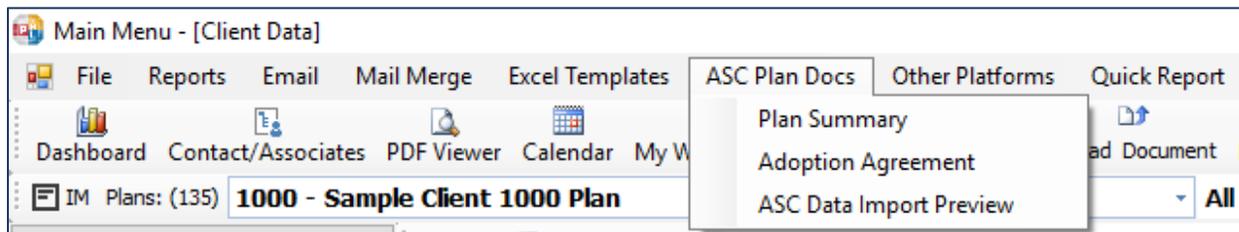
Administrator: Randy  
Investment Company: Sample Investment Company  
Loans From Accounts: All Accounts  
COVID Loans Allowed: Yes

## DGEM Integration

PensionPal is partially integrated with other ASC systems, allowing data to be shared between the various products. This enables you to enter information in one product and have that information updated automatically in PensionPal, making it easier to keep all information up to date.

Data is shared from Document Generation and Management (DGEM) system to the PensionPal system. This data sharing is initiated by the user. The data flow from DGEM to PensionPal is in one direction only and occurs automatically, without user intervention. For example, when you update data in DGEM, that data will automatically be updated in PensionPal. Data entered in PensionPal will not be updated in DGEM.

In PensionPal, the ASC Plan Docs menu has three options – Plan Summary, Adoption Agreement, and ASC Data Import Preview. When Plan Summary or Adoption Agreement is selected, the corresponding document is made available directly from DGEM. For some document types, the Plan Summary does not exist. If this is the case, a message is displayed that the document is not available.



## Amendments

CARES Act amendments can be tracked on PensionPal's Amendments page. Data can be tracked and imported using the Quick Import feature or entered individually as the amendments are prepared.

The screenshot displays the 'Amendments' page in the PensionPal system. The page is titled 'Main Menu - [Amendments]' and shows a detailed form for a 'CARES Act Amendment' for the '82299 - Mickey Mouse Fan Club 401(k) Plan'. The form includes fields for 'Amd Requested By', 'Date Requested', 'Doc to Amend', 'Platform Update Needed', 'Enrollment Kits Needed', 'Effective Date', 'Amend No.', 'Completed By', 'Date Completed', 'Amend Notes', 'Sent Date', 'Date Amend Signed', 'Platform Ppww Signed', 'Enrollment Kit Updated', 'Amend Fee', 'Update Val System', 'Platform Updated', 'Enrollment Kit Req By', 'Amd Invoice Requested', and 'Amendment Fee Paid'. The 'Attach Amend' section shows two PDF files: '04-22-2020 Signed CARES Act Amenment.pdf' and '04-23-20 Completed CARES Act Checklist.pdf'. A table at the bottom of the page lists the amendments with columns for 'Effective Date', 'Description', and 'Signed Amend Date'.

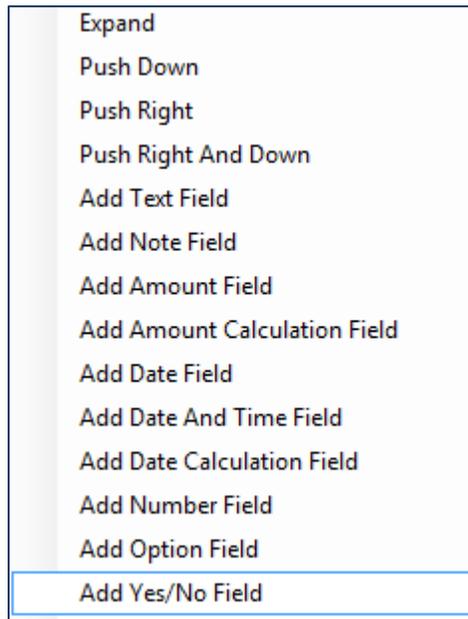
Effective Date	Description	Signed Amend Date
5/1/2020	CARES Act Amendment	4/11/2020

## Partial Plan Termination & Defined Benefit Plan Freeze

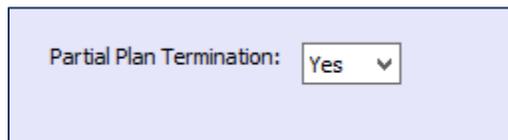
1. Go to Manage > Form Designer.

Manage	Calendar/Timesheet	Tools
Form Designer		
Field Actions		
Portal ▶		
Users		
Roles		
Map ▶		
PDF Files		
Email ▶		
Contact Types		
My Preferences		

2. Right-click anywhere in the gray and select Add Yes/No field.



3. Create a Partial Plan Termination field and restart PensionPal.



- Go to Manage > Field Actions and click the add button at the bottom. Create a field action that will notify your users that this plan has opted Yes for the Partial Plan Termination option.

Field Actions

Edit Save Cancel

When the Field:

Action Type:

Show Notification Message

Message:

	Is	Value	Color
▶	=	Yes	Crimson
*			

File Reports Email Mail Merge Excel Templates ASC Plan Docs Other Platforms Quick

Dashboard Contact/Associates Calendar My Workflow Invoices Client Folder Upload Document My P

IM Plans: (128) 82299 - Mickey Mouse Fan Club 401(k) Plan

Partial Plan Termination.  
See Plan Admin for questions.

Edit Save Search By: Plan Information

Employees(2)

Show Payouts
Initiate

- Repeat steps 1-4 to monitor any Defined Benefit Plan freezing but this time create your Yes/No field on one of your Defined Benefit pages.

Plan Freeze:

Field Actions

When the Field:

Action Type:

Show Notification Message

Message:

	Is	Value	Color
▶	=	Yes	SkyBlue
*			

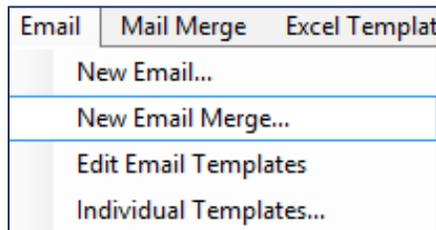
Plans: (129) **89000 - Mickey Mouse Fan Club Defined Benefit Plan**

Search By: Plan Information

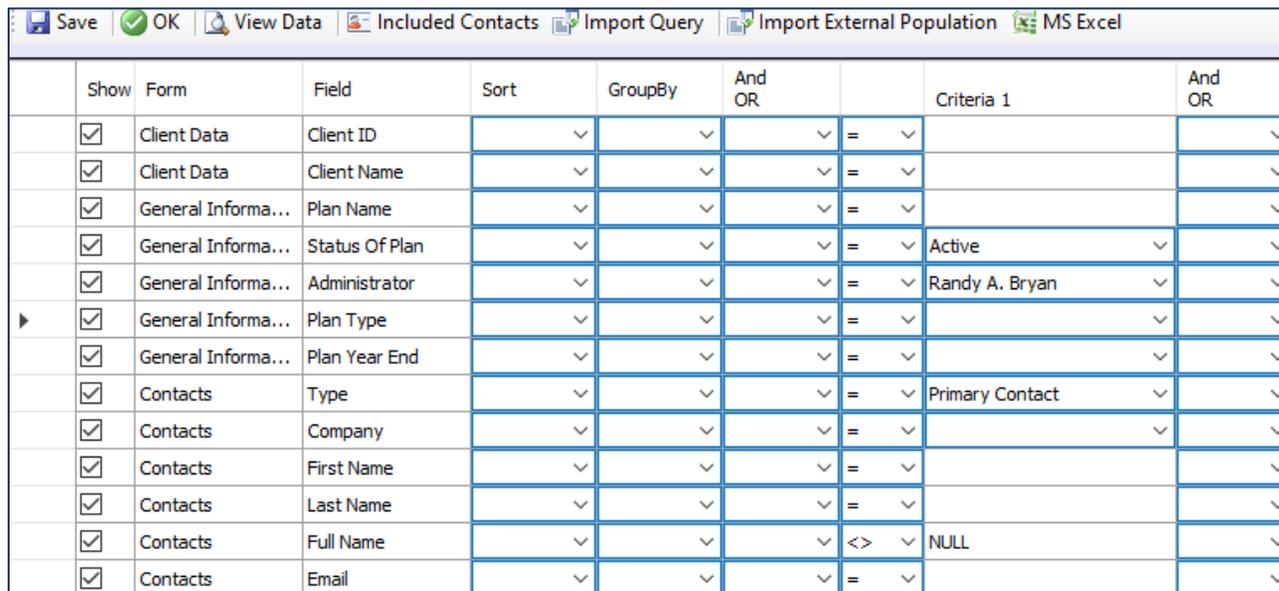
Plan Freeze.  
See Plan Admin for questions.

## Forms & Notices Delivery

1. Go to Email > New Email Template.

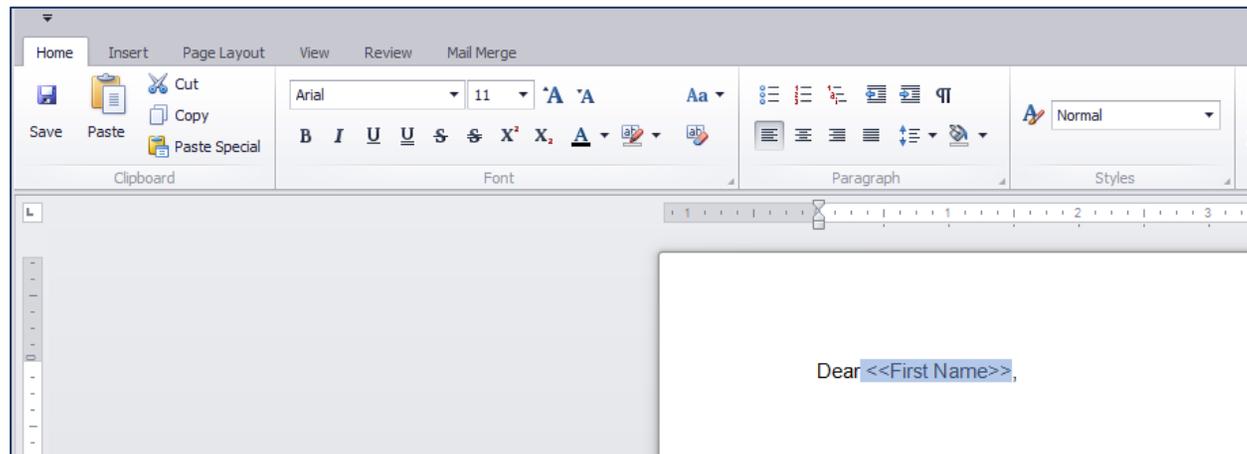


2. Create a query for all the plans that will be receiving your email. Click Save & OK.

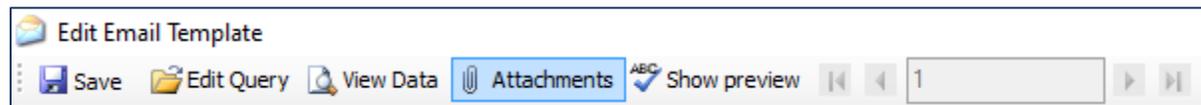


	Show	Form	Field	Sort	GroupBy	And OR		Criteria 1	And OR
<input checked="" type="checkbox"/>		Client Data	Client ID	▼	▼	▼	=	▼	▼
<input checked="" type="checkbox"/>		Client Data	Client Name	▼	▼	▼	=	▼	▼
<input checked="" type="checkbox"/>		General Informa...	Plan Name	▼	▼	▼	=	▼	▼
<input checked="" type="checkbox"/>		General Informa...	Status Of Plan	▼	▼	▼	=	▼ Active	▼
<input checked="" type="checkbox"/>		General Informa...	Administrator	▼	▼	▼	=	▼ Randy A. Bryan	▼
<input checked="" type="checkbox"/>		General Informa...	Plan Type	▼	▼	▼	=	▼	▼
<input checked="" type="checkbox"/>		General Informa...	Plan Year End	▼	▼	▼	=	▼	▼
<input checked="" type="checkbox"/>		Contacts	Type	▼	▼	▼	=	▼ Primary Contact	▼
<input checked="" type="checkbox"/>		Contacts	Company	▼	▼	▼	=	▼	▼
<input checked="" type="checkbox"/>		Contacts	First Name	▼	▼	▼	=	▼	▼
<input checked="" type="checkbox"/>		Contacts	Last Name	▼	▼	▼	=	▼	▼
<input checked="" type="checkbox"/>		Contacts	Full Name	▼	▼	▼	<>	▼ NULL	▼
<input checked="" type="checkbox"/>		Contacts	Email	▼	▼	▼	=	▼	▼

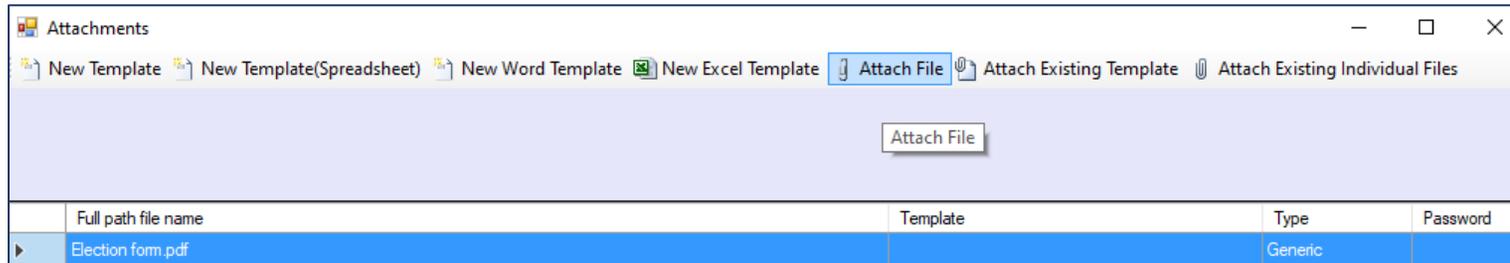
3. Create the body of your email template. Right-click and select Insert Field to insert fields from your query into your template for a more personal touch.



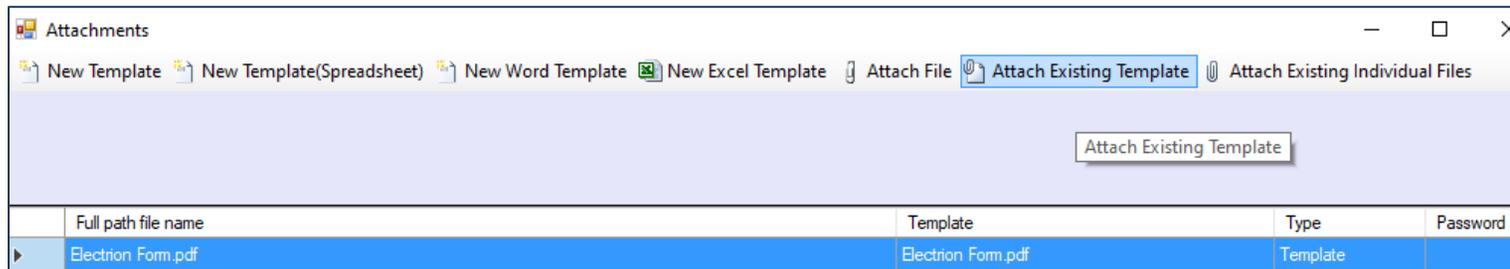
4. Click the attachment button.



5. Attach File – Use this option if you’re not inserting any fields from PensionPal into your attachment. All plans receiving this template will receive the same attachment across the board if this option is selected.



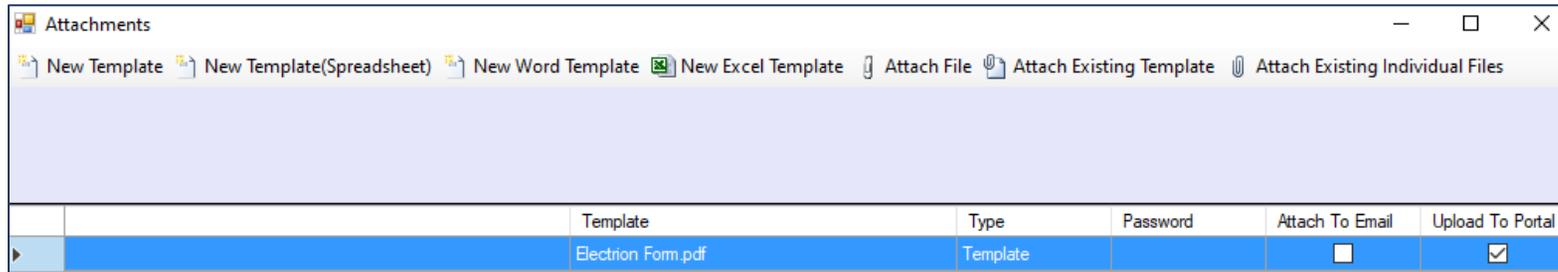
6. Attach Existing Template – Use this option if you would like to add fields from your query to your template to give your attachment a more personal feeling. All Plans receiving this template will receive their own personalized attachment if this option is selected.



- 6a. Right-click on your attachment and select Edit Template
- 6b. Right-click over a fillable area of your form and select Insert Field.
- 6c. Click the Create Individual Files when done inserting fields.
- 6d. Click Save and close this box.

Note: You will need to create a new batch of individual files every time a change is made to the attachment template.

7. Portal Users can click on the Upload To Portal checkbox to post the attachment on the Web Portal.



Template	Type	Password	Attach To Email	Upload To Portal
Election Form.pdf	Template		<input type="checkbox"/>	<input checked="" type="checkbox"/>

8. Portal users can also go to My Portal Documents and use the Public Documents or News & Updates button to attach notices to their web portal for their clients to access.

