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# Cycle 3 Document Restatements Using DGEM

September 10, 2020

Presented by Dawn Johnson, Senior ASC Document Support Consultant  
Special Guests: Mona Wilkinson and Randy Bryan

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## Agenda:

- Cycle 3 Restatement Projected Release Schedule
- Prep for Your Cycle 3 Restatements
- Restating Your Plans Using DGEM/New Features
- Pension*Pal* – DGEM Integration
- CATTs – DGEM Integration
- Gemini Web Portal for Plan Sponsors
- ASC System Proficiencies with Cycle 3 Restatements
- How to contact ASC Support

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## Cycle 3 Restatement Projected Release Schedule

- Nonstandardized & Standardized PS/401(k) Plans– Available Now!
- Owners Only PS/401(k) Plan– Available Now!
- Nonstandardized Money Purchase Pension Plan – September
- Nonstandardized Governmental PS/401(k) Plan – Mid-September
- Nonstandardized Governmental Money Purchase Pension Plan – Mid-October
- Nonstandardized Church PS/401(k) Plan – End of October
- Nonstandardized Church Money Purchase Pension Plan – End of October
- Nonstandardized ESOP/KSOP - November

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## Prep for Your Cycle 3 Restatements

- Review Cycle 3 Annotated AA & BPD (**Download > 2 Plan Documents > Defined Contribution > Cycle 3 > Cycle 3 Annotated AAs and BPDs**)
- Locate Cycle 3 BPDs (**Download > 2 Plan Documents > Defined Contribution > Cycle 3 > Cycle 3 BPD**)
- Confirm you have all applicable Cycle 3 opinion letters. (**Upload Custom Docs/Cover Letters/IRS Letters/E-Sign Text** link at bottom of DGEM page)
  - If you need additional document types, contact [Sales@asc-net.com](mailto:Sales@asc-net.com)
- Update User Security Groups to add Cycle 3 document access, if needed. (**User Logins > DGEM Groups > Modify > Restrict By Document Type**)

[User Logins](#) | [Email Log](#) | [Archived Clients](#) | [Support](#) | [Download](#) | [User Guides/FAQ](#) | [Reset Password](#)  
[Annual Notice Wizard](#) | [5500 Wizards](#) | [Import/Export Email Addresses](#) | [ASCVal Plan Data](#)  
[Upload Custom Docs/Cover Letters/IRS Letters/E-Sign Text](#) | [Batch View Docs](#) | [E-Library](#) | [View Blank AA](#)  
[Hardship Interim Amendment Wizard](#) | [Batch Print AA Package](#) | [Batch Print LOMs](#)  
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## Prep for Your Cycle 3 Restatements

- Confirm “from” email, if sending AA Packages to clients from DGEM
  - You can set up one sender email address for emailing documents and pre-populated forms directly to your clients from DGEM.
- Review and update Employer email addresses for E-sign, if applicable

User Logins | Email Log | Archived Clients | Support | Download | User Guides/FAQ | Reset Password  
 Annual Notice Wizard | 5500 Wizards | **Import/Export Email Addresses** | ASCVal Plan Data  
 Upload Custom Docs/Cover Letters/IRS Letters/E-Sign Text | Batch View Docs | E-Library | View Blank AA  
 Hardship Interim Amendment Wizard

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- Export list of PPA plans using the Export/Import feature for tracking purposes, if needed

**ASC** Clients Patterns Find Silver Consulting E-sign Status **Export/Import**



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## Prep for Your Cycle 3 Restatements

- Review Cover Letter/FAQ (**Manage Documents** page > **View Docs and AA Package** or **Pre-populated Forms**. Also included in handouts.)
  - Use ASC’s generic
  - Customize and upload cover letter (see DGEM User Guide, p. 27)

User Logins | Email Log | Archived Clients | Support | Download | User Guides/FAQ | Reset Password  
 Annual Notice Wizard | 5500 Wizards | Import/Export Email Addresses | ASCVal Plan Data  
**Upload Custom Docs/Cover Letters/IRS Letters/E-Sign Text** | Batch View Docs | E-Library | View Blank AA  
 Hardship Interim Amendment Wizard

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- Consider Hardship Distribution Interim Amendments (HDIA)
  - HDIA for Cycle 3 (BPDs already include HDIA, see Appendix section)
  - Have you created HDIAs with the HDIA Wizard?
  - Consider creating for PPA docs prior to restating to easily populate your provider defaults

User Logins | Email Log | Archived Clients | Support | Download | User Guides/FAQ | Reset Password  
 Annual Notice Wizard | 5500 Wizards | Import/Export Email Addresses | ASCVal Plan Data  
 Upload Custom Docs/Cover Letters/IRS Letters/E-Sign Text | Batch View Docs | E-Library | View Blank AA  
**Hardship Interim Amendment Wizard** | Batch Print AA Package | Batch Print LDFs

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# Restating Your Plans Using DGEM

- Restate plans in batch
  - Use **Find** feature - see **DGEM User Guide, p. 41**
  - All docs of the same type can be restated at once
  - Select option under **Show PPA**, if applicable
  - Easily make across-the-board changes for all plans
    - Great time to review/update your Company name, address, phone in existing plans, if needed

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# Restating Your Plans Using DGEM

- Restate plans in batch

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## Restating Your Plans Using DGEM

- Restate plans in batch
  - If no across-the-board changes will be made, stop after Step 1
    - No elections need to be made
    - Do not click **Save & Finish**
  - If across-the-board changes will be made
    - Make desired changes
    - Click **Save & Add More Changes** on each page changed
    - Click **Save & Finish**, then click **Execute Batch Update** on next page
- Return to each client's **Manage Documents** page to review and finalize each document

Find

Create Restatement

Restate To:

Cycle 3 PS 401a Non CY AA

Next &gt;

### Batch Update: Step 1

Some of the plans selected were not processed. Check for specific plan errors [here](#).

Updated Questions: NONE

Back Clear Save & Add More Changes Save & Finish

#### General Information

1. Employer Information
2. Plan Information

#### GENERAL INFORMATION

In order to save changes click the save button.



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## Restating Your Plans Using DGEM

- Restate plans one-by-one (See **DGEM User Guide**, p. 41)
  - Select Plan to be restated (must select latest plan)
  - Select **Create Restatement** from dropdown list
  - Select appropriate Cycle 3 document on next page, which takes you to the Cycle 3 checklist

### Manage Documents - Abe Henry Henke

Manage Plan Documents and 5500 Forms

Document Type	Plan Version	Status	Date	Show Old	User
PPA PS/401(k) VS AA	001 V1.	In process	09/08/2020	Support	
PPA PS/401(k) VS AA	001 V1.1	In process	09/08/2020	Support	

Filter:  Next >

Customized Documents



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## Restating Your Plans Using DGEM

### ALL PLANS:

- Make any Employer-requested changes
- **Validate** at any time during the process and **always before finalizing!**

Edit C3 PS/401(k) NStd (01-001/002) AA - 1 C3 Test Employer

Back Finalize Clear **Validate** Save Save & Next

- Generate AA and save to file or print  
(**Manage Documents** page, Select Plan > **View Docs and AA Package**)
- **Review, review, and then review again!**

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### Adoption Agreement Packages

Abe Henry Henke

C3 PS/401(k) NStd (01-001/002) AA Version: V1 Plan: 002

- Cover Letter  
[Default Cover Letter]
- Adoption Agreement
  - E-Signed version
- Trust Agreement (Cycle 3 Only)
- Corporate Resolution
  - E-Signed version
- Summary Plan Description
- Plan Summary
- Employer Resolutions for Participating Employers
  - E-Signed version
- IRS Approval Letters

ASCI C3 IRS Opinion Ltr NS PS401k-Full.pdf  
ASCI C3 IRS Opinion Ltr S PS401k-Full.pdf

- Other Generic Documents

ASCI 403b 501c3 50-501.pdf  
ASCI Gov Volume Submitter Profit Sharing Plan with  
ASCI Prototype Non-Standardized Profit Sharing Plan  
ASCI Volume Submitter Profit Sharing Plan With COC

Generate Doc

Generate PDF

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## Restating Your Plans Using DGEM

- Determine delivery method
  - Wet signature or E-Sign (contact [Sales@asc-net.com](mailto:Sales@asc-net.com) to enroll in E-sign)
  - Email to Plan Sponsor from DGEM, CATTs, or PensionPal
  - Upload to Plan Sponsor website using Gemini
  - Other methods (e.g. personal delivery, snail mail)
- Generate and deliver documents and forms

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# Best Practices and New Features!

- Document Statuses
  - Update to Final/Executed/Esigned greatly increases system functionality options
    - Required for CATTs and Pension*Pa*/integration
    - Provides more accurate information for ASCVal integration
  - Update plans individually or in batch

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# Best Practices and New Features!

- Update Document Status by Plan
  - From Plan Checklist:



OR

- From Manage Documents page

## Manage Documents - Abe Henry Henke

Manage Plan Documents and 5500 Forms

Document Type	Plan Version	Status	Date	Owner
C3 PS/401(k) NStd (01-001/002) AA	001 V1	In process	08/06/2020	Support
PPA PS/401(k) VS AA	001 V1	executed	09/08/2020	Support
PPA PS/401(k) VS AA	001 V1.1	sub: executed	09/08/2020	Support

Customized Documents

- Edit
- Print
- Delete
- View Docs and AA Package
- E-Sign Documents
- View Pre-populated Forms
- Manage Document Status

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## Modify Document Status

Client: Abe Henry Henke  
 Plan Number: 001  
 Document: C3 PS/401(k) NStd (01-001/002) AA  
 Version: V1  
 Validated: Yes (Auto Validated)

## Status Change History

Modified	Status	User
8/28/2020 11:00 AM	In process	Support

## Now Status

Now Status dropdown menu options:

- In process
- Final
- Executed
- Document only ready to print
- Send to client
- Executed
- Final
- Terminated
- Terminated/Executed
- Customized
- Customized/Executed
- Rescinded
- Resigned

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## Best Practices and New Features!

- Document Status Update in Batch

- On the **Clients** screen, click the **Import/Export Client Data** located towards the bottom of the screen
- On next screen, scroll down to **Batch Update Plan Status** and click **Next>**
- On **Batch Update Plan Status** page, check applicable box(es) and then click **Create Template**
- Carefully review the plans in the import template and update plans as applicable; save file and upload back into DGEM

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## Best Practices and New Features!

- **Batch Print.** Select multiple plans and zip the PDFs – up to 1,000 at a time!
  - Must first set Plan status to Final/Executed/Esigned
  - AA Packages (Includes AA, SPD, and Plan Summary)
  - List of Modifications (LOMs for MEP Adopting Employers)

User Logins | Email Log | Archived Clients | Support | Download | User Guides/FAQ | Reset Password  
 Annual Notice Wizard | 5500 Wizards | Import/Export Email Addresses | ASCVal Plan Data  
 Upload Custom Docs/Cover Letters/IRS Letters/E-Sign Text | Batch View Docs | E-Library | View Blank AA  
 Hardship Interim Amendment Wizard | **Batch Print AA Package** | **Batch Print LOMs**  
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# Cycle 3 PensionPal - DGEM Integration

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## Cycle 3 Restatement Tracking Pages

- Fields
- Workflow
- Rename & Rearrange – Match Your Processes and Procedures
- Design Your Own
  - Import Headers to Current Form Feature

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**PensionPal**  
An ASC Company

**Cycle 3 Restatement**

Prepared: On Review  
Awaiting Signature  
Document Signed  
Completed  
N/A

Administrator: Brenda Office  
Document Type: 26 40 00 00 00  
Document Header: ASC 2020  
Investment Company: Sample Investment Company  
Investor Doc Services: Yes

**Yes/No**

**Bulletin Board**

**Calculated Date**

**Set Default to Current User**

**Field Action - C3 Restatement Status Completed**

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**PensionPal**  
An ASC Company

**Cycle 3 Restatement Workflow**

Prepared: On Review  
Awaiting Signature  
Document Signed  
Completed  
N/A

Administrator: Brenda Office  
Document Type: 26 40 00 00 00  
Document Header: ASC 2020  
Investment Company: Sample Investment Company  
Investor Doc Services: Yes

**Yes/No**


**Bulletin Board**

**Field Action - C3 Restatement Status Completed**

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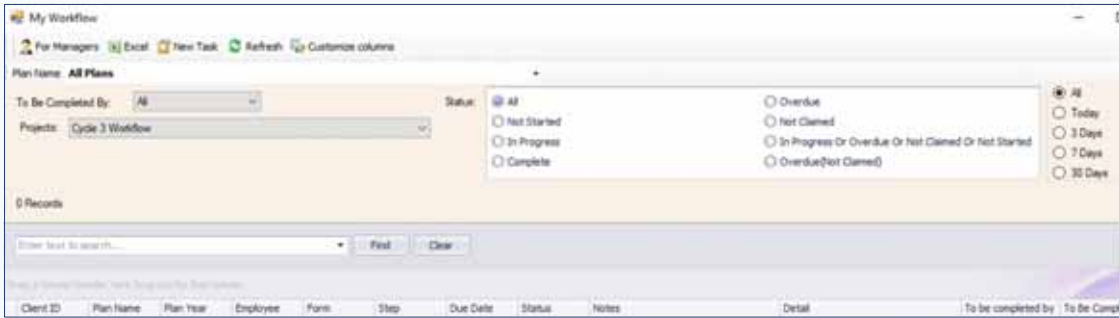
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## Dashboard / My Workflow

- Update Workflow and Tasks
- Track Completion Status




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## PensionPal Web Portal Users – Upload to Portal

- Individual – one at a time
- Batch – based on criteria
- Email Notification to Plan Sponsors

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### Email Merge Feature

- Email Plan Sponsors
- Log Email
- Update a Field

**Email Templates**

[Edit Query](#)
[Open Template](#)
[Set/Change Passwords](#)
[Attachments](#)
[Edit Template](#)
[View Data](#)

[New](#)
[Save As...](#)
[Delete](#)
 Group By

Enter text to search...

Only 4 rows/fields are shown to group by that column.

Type	Name	Description	Last Run By	Last Run Date	Date Created
Email Template	2018 Census	Portal	Brenda	9/5/2019	8/12/2019
Email Template	CARES Act Checklist	CARES Act Checklist	Brenda	6/5/2020	5/7/2020
Email Template	Cycle 3 Restatement Email	Cycle 3 Notice to clients	Brenda	6/5/2020	5/7/2020

**Attachments**

[New Template](#)
[New Template\(Spreadsheet\)](#)
[New Word Template](#)
[New Excel Template](#)
[Attach File](#)
[Attach Existing Template](#)
[Attach Existing Individual Files](#)

Full path file name	Template	Type	Password	Attach To Email	Upload To Portal
Cycle 3 Restatement.pdf	Cycle 3 Restatement.pdf	Template		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

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### DGEM Integration

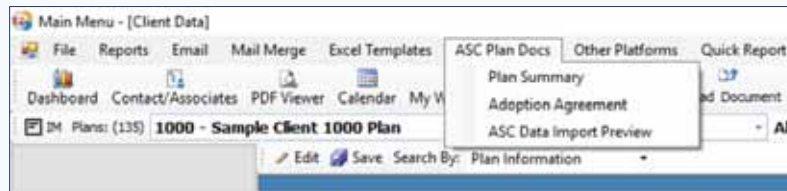
- Both DGEM Client Status and DGEM Plan Document Status must be kept current
  - Executed, Final, or Esigned
- The EIN/Plan #s are the index for the integration. The data in DGEM, ASCVal, and PensionPal must match
- Integration is one way from DGEM and ASCVal to PensionPal and is updated every three minutes

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## ASC Plan Docs in PensionPal

- Plan Summary
- Adoption Agreement
- ASC Data Import Preview



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# Cycle 3 CATTs - DGEM Integration

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## Topics to cover:

- Project and Tasks functionality
- Outlook Integration and storing communication history
- Custom communication to plan sponsors for completing Cycle 3 checklists
- Mail Merge with DGEM AA package, delivery, and tracking
- Flexible options for delivering communications to multiple contacts

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## Create Cycle 3 Restatement Projects

- Sample Cycle 3 Project
- The project task list may be customized to your organization's processes
- Tasks may be detailed or general
- Tasks not applicable to every plan may be set-up to skip
- Assign task due date based on project start date, completion of prior task date, or hardcoding
- Assign tasks to CATTS users based on staff role

The screenshot shows the 'View Scheduled Project' interface in the ASC software. The top navigation bar includes 'Home', 'Dashboard', 'Plans', 'Projects', 'Reports', 'Admin', and 'Help'. The main content area is titled 'View Scheduled Project' and shows a 'Project Information' section with fields for Name, Description, Contact To, Project Type To, Case Selection Category, Start Date, and Expiration Date. Below this is a 'PROJECT TASKS' section with a table of tasks.

Task ID	Task Name	Due Date	Assigned To
1	Create Restatement in 2020	1 Month After Project Start	Admin
2	Upload new data for new presentation setup	10 days After Completion Date of Task # 1	Admin
3	Send draft copy for Review	11 days After Completion Date of Task # 1	Admin
4	Review Complete	3 days After Completion Date of Task # 3	Admin
5	Prepare Document Based on 2020 Forms etc.	10 days After Completion Date of Task # 4	Admin
6	Prepare Cover Letter	10 days After Completion Date of Task # 4	Admin
7	Prepare Document Package to Client	10 days After Completion Date of Task # 4	Admin
8	Review of document preparation process	10 days After Completion Date of Task # 4	Admin
9	Upload Document Status in 2020	11 days After Completion Date of Task # 4	Admin

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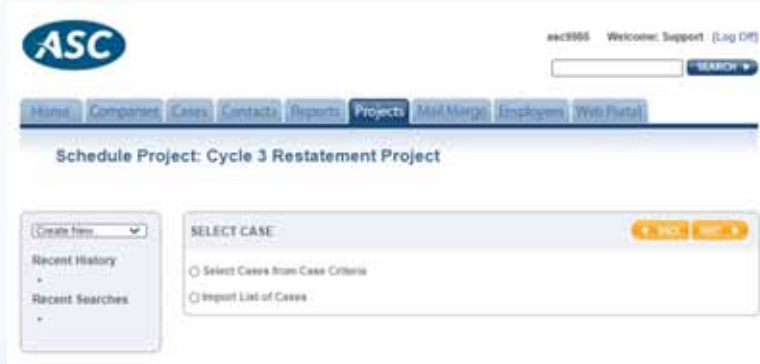
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# Schedule Cycle 3 Restatement Projects

- Assign plans to projects using plan criteria or import a hard-coded list of plans
- DGEM document integration creates plan records in CATTs
- The project task list is assigned to each plan affiliated with the project



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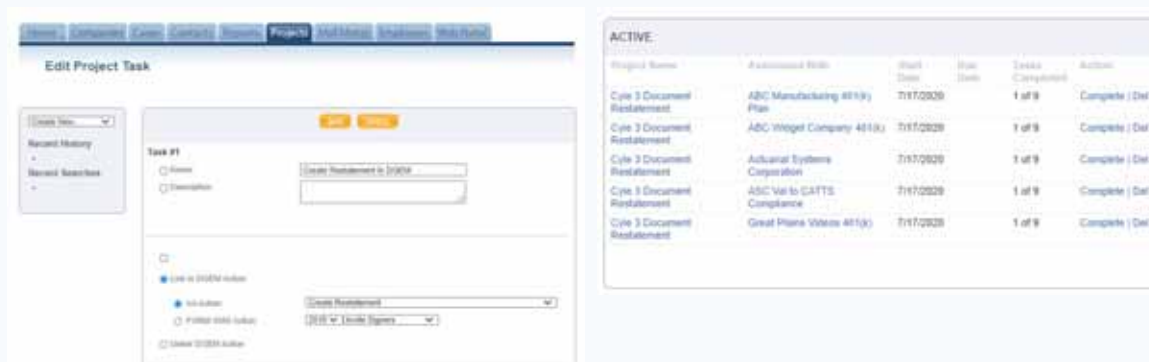
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# DGEM Action Integration for Task Completion

- Code a CATTs Cycle 3 Project for automatic task completion with the “Batch Create Restatements” feature



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## DGEM Action Integration for Task Completion

- Code a CATTs Cycle 3 Project for automatic task completion with DGEM Action – “Modify Status” to “executed or final” status

The screenshot shows two overlapping web application windows. The background window is titled 'Edit Project Task' and features a navigation menu at the top with options like Home, Compliance, Goals, Contacts, Reports, Projects, and Audit. The main content area includes a 'Task #' section with fields for Name and Description, and a 'List in DGEM Action' section with a dropdown menu for 'Modify Status' and a '2018' dropdown. The foreground window is titled 'Modify Document Status' and displays client information for 'ABC Manufacturing' with Plan Number '001' and Document 'VS AA'. It includes a dropdown menu for 'Version' with options like 'in process', 'hold', 'inactive', 'document only', 'ready to print', and 'send to client'. Below this is a 'Status Change History' table with columns for 'Effective Date' and 'User', and a 'New Status' dropdown menu with options like 'in process', 'support', 'executed', etc. A 'Modify Status' button is located at the bottom of the foreground window.

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## Reports Track Project Progress

- Create and generate reports under the “Reports Tab”
- Generate Project Summary Reports to view project % completions
- Generate Project Detail Reports.
  - Create reports with options to review each task’s:
    - Assignment
    - Due date
    - Complete date
- No limit to the number of reports affiliated with a single project
- Availability
  - Generate Reports on demand
  - Schedule the periodic delivery of reports

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## Outlook Integration and Communication Tracking

- Integration matches a “Sent” or a “From” Outlook email address to a CATTS contact email address
- Highlight a plan sponsor “Cycle 3” email communication. Click the ASC CATTS “Log to contact” or “Log to case & contact” to move a copy of the email to the Contact Notes and Attachments Panel



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## Custom Communication for Cycle 3 Information

- Cycle 3 DGEM Forms may be delivered from CATTS
- Create DGEM “Rosters” under Pre-populated Forms which flow to CATTS
- Under the CATTS Mail Merge tab Reference the “Roster”, select contact, and “Send Email”



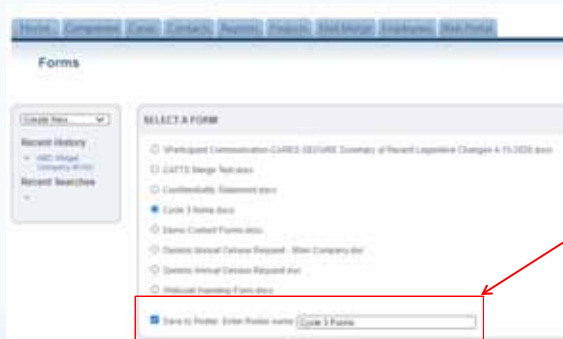
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# Custom Communication for Cycle 3 Information

- Create Cycle 3 communication with CATTs Forms Templates
- Create CATTs “Rosters” for email delivery
- Select Mail Merge and reference CATTs Roster to Batch send Cycle 3 Forms



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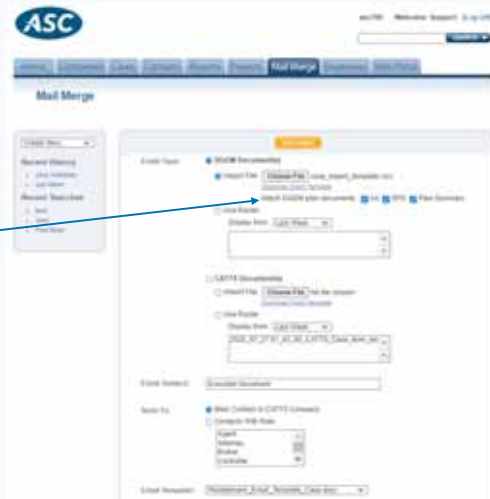
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# Mail Merge with DGEM AA Package

- DGEM documents in “Executed”, “Final”, or “Esign” status may be batch delivered from the CATTs “Mail Merge” tab



- DGEM Integration is automatic and no additional set-up in CATTs required
- Select Contact and “SENT EMAIL”
- Add the email as a Contact Note in CATTs

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## Flexible Options for Cycle 3 Contact Delivery

- Option to deliver communications to contacts by CATTs role
- System creates automatic history record of the email

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## Gemini Web Portal for Plan Sponsors

- Portal, when tied to CATTs, is hosted and supported by ASC
- Provides a primary point of contact for plan sponsors @MyRetirementAccounts

- Brand the site with Customization options
- Offers secure transmittal of sensitive data
- Plan sponsors may access plan related information, documents, forms, reports, and more!

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# Pairing Gemini with ASC CRMS

- Publish CATTs Forms directly to Gemini under the Web Portal tab and “Post File”
- Create letters, new service agreements, and more for a Single Case or for a Batch (using a Multiple Cases import)



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# Post Cycle 3 Questionnaires to Gemini

- Gather Cycle 3 information by posting Questionnaires to Gemini
- Load Questionnaire from CATTs under the Web Portal tab
- Plan Sponsor downloads from Gemini and completes



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# Load Cycle 3 Information back to CATTs

- Plan Sponsors upload completed questionnaires from Gemini to CATTs
- The questionnaire is stored in the “UPLOADED FILES” panel as a permanent part of the CATTs case record
- Click on the File Name to view on screen



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## System Proficiencies with Cycle 3 Restatements

ASC System Feature	DGEM Plan Docs	CATTs CRM	Gemini Web Portal	PensionPal CRM & Web Portal
<b>Upload/Transfer/Publish</b>				
Basic Plan Document/Adoption Agreement	✓	✓ Automated	✓ Manual; Batch with CATTs	✓ Automated
Plan Summary Highlights	✓	✓ Automated	✓ Automated	✓ Automated
Summary Plan Description	✓	✓ Automated	✓ Manual; Batch with CATTs	✓ Automated
Summary of Material Modifications	✓	✓ Automated	✓ Manual	✓ Manual
Determination/Opinion Letters	✓	✓ Automated	✓ Manual	✓ Manual
Participant Notices (e.g. Safe Harbor, Automatic Enroll, etc.)	✓	✓ Manual	✓ Manual	✓ Manual
Pre-Populated Forms	✓	✓ Batch	✓ Manual; Batch with CATTs	✓ Manual
<b>Communication Capabilities</b>				
Batch Email	✓		✓	✓
Client Specific Email	✓	✓	✓	✓
E-Sign Available	✓			
<b>Tracking Processes</b>				
Task Management (e.g. Workflows and Projects)		✓		✓
Cover or Form Letters	✓	✓	✓	✓
Reminders	✓	✓	✓	✓

If you are interested in adding any of these products to your ASC product suite, contact sales@asc-net.com. If you have questions about how any of these work, contact support@asc-net.com.

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## How to get help from ASC Support!

- In DGEM: Click the “Support” link at the bottom of any DGEM screen
- In CATTs: Click the “Contact ASC” link at the bottom of the CATTs screen
- For Pension*Pal* (and all ASC products): Login to ASC’s Client Support Center (CSC)
- Email [Support@asc-net.com](mailto:Support@asc-net.com)

We’re here to help!

