



ParkereSSe ClientTracking Application (PS.CT)

The ParkereSSe ClientTracking application, PS.CT, manages client and plan administration workflow and status data in a central database with user functions tied to administration processes to facilitate plan status review and update.

PS.CT is a multi-user application typically installed on a network server. A login is required to access application functions; user entitlements tailor function access at the user level.

The following sections provide information on key components of PS.CT.

Plan Management

The 'Plan Management' view maintains general information about the client plans including:

- Company information
- Plan information
- Internal assignments (Team, Division, Service Level)
- Contacts: Plan, Advisor, Attorney, Accountant
- PBGC information

Plan Management Case Tracking Management Admin Data and Reports Ancillary Data Management User Management

FCPA Plans Table

Filter Criteria
 Team: All
 Division: All
 Type: All

Sort Criteria
 Plan #: Ascending
 Company: Ascending

Change Filter/Sort

Records 638

LDA#	Company	Official Contact	Title	FirstName	LastName	Salutation	Operational Contact
2312	Company 2312	Official Contact_2312					
2420	Company 2420	Official Contact_2420		FirstName 2420	LastName 2420	The Official_2420	Operational Cor
2435	Company 2435	Official Contact_2435	Ms.	FirstName 2435	LastName 2435	The Official_2435	Operational Cor
2464	Company 2464	Official Contact_2464					
2465	Company 2465	Official Contact_2465					Operational Cor
2485	Company 2485	Official Contact_2485					
2535	Company 2535	Official Contact_2535					
2548	Company 2548	Official Contact_2548					
2551	Company 2551	Official Contact_2551					
2558	Company 2558	Official Contact_2558					
2565	Company 2565						

FCPA Plans Record

General Plan Contact Services Contacts PBGC, Misc, and Comments Other

ID # 2312 Company Company 2312 Plan Type CB Employer EIN 00-0000000

Team KS Plan Name Company 2312 CB_Plan Document Corbel Trust EIN 00-0000001

Division TPA TPA TPA_325 Last Fee Incr 03/08/2008 PIN 002

Service Level Standard Type Detail Acc FAS Type <Unknown> PYE 12/31

New Edit Save Cancel Extract Delete Archive Restore

Plans can be edited, added, deleted, or archived (and restored on demand).

Client Tracking Management

The 'Client Tracking Management' view maintains workflow information at the Tracking Year level for annual plan administration. This view provides access to all managed data; 'Admin Data and Reports' functions, described later, provide subsets of this information for a focused, workflow process-oriented view.

'Client Tracking Management' data include workflow information for:

- Pertinent administration event and status dates
- Valuation
- Testing
- Form 5500
- FAS
- Funding
- PBGC

Plan Management Case Tracking Management Admin Data and Reports Ancillary Data Management User Management

Case Tracking Table

Filter Criteria

Team: All
Division: All
Type: All
Tracking Year: All

Sort Criteria

PYE: Ascending
TPA: Ascending
Company: Ascending
Plan #: No Sort

Change Filter/Sort

Records 2623

TrackDate	ValDate	TrackingYear	LDA#	Company	Team	Division	Consultant	Type
12/31/2017	1/1/2017	2017	9695	Company 9695	KS	TPA		CB
12/31/2016	1/1/2016	2016	9787	Company 9787	KS	TPA		CB
4/30/2016	5/1/2015	2016	3662	Company 3662	QH	TPA		CB
4/30/2015	5/1/2014	2015	3662	Company 3662	QH	TPA		CB
6/30/2017	7/1/2017	2017	9842	Company 9842	KS	TPA		CB
6/30/2018	7/1/2017	2018	3658	Company 3658	QH	TPA		CB
6/30/2015	7/1/2014	2015	3658	Company 3658	QH	TPA		CB
6/30/2016	7/1/2015	2016	3658	Company 3658	QH	TPA		CB
6/30/2017	7/1/2016	2017	9843	Company 9843	QH	TPA		DB
6/30/2017	7/1/2016	2017	9844	Company 9844	QH	TPA		DB
6/30/2018	7/1/2017	2018	9597	Company 9597	KS	TPA		DB

Case Tracking Record

General Dates Testing, Safe Harbor 5500, AFN, FAS PBGC Other

In Review Date Automatic Rollover Val Cert Consultant

Stmts Mailed ADR Followup Rollover Provider

Internet Data Initial Cert Safe Harbor

Senior

Period

Multi-Plan Roll Forward Roll Forward Edit Save Cancel Extract Delete

This view provides the tools to roll forward one or more plans to the next tracking year with key fields copied from the previous tracking year and dates brought forward to initialize administration for the new year.

Admin Data and Reports

This tab provides access to focused workflow process functions where the data elements are filtered to the needs of the respective function. Additional fields provide key measures for prioritization (e.g., Days Before Due); filter and sort defaults also provide a prioritized view.

Plan Management Case Tracking Management **Admin Data and Reports** Ancillary Data Management User Management

Admin Data Entry

Valuation Status

Non-Discrimination Testing Status

FAS Status

Form 5500 Status

Schedule B Status

PBGC Premiums Status

AFN Status

AFTAP Status

The 'Admin Data Entry' function provides key data elements across all administrative functions and provides a one-stop place to view and update the broader plan status.

Case Tracking Table

Filter Criteria

TrackingYear: 2018
Val Mailed: NULL
ValDate: All
PBGC Covered: All
Division: All
Team: All

Sort Criteria

TrackingYear: Ascending
TPA: Ascending
Company: Ascending
Team: No Sort

Change Filter/Sort

Records 551

TrackingYear	TPA	Company	Type	Team	ValDate	Val Mailed	Val Signed	AFTAP
2018	TPA_0	Company 2565	DB	KS	1/1/2018			0
2018	TPA_0	Company 2717	DB	PR	1/1/2018			0
2018	TPA_0	Company 2754	DB	PR	1/1/2018			0
2018	TPA_0	Company 2776	CB	PR	1/1/2018			0
2018	TPA_0	Company 2858	CB	PR	1/1/2018			0
2018	TPA_0	Company 2859	401K	JB	12/31/2018			0
2018	TPA_0	Company 3025	401K	JB	12/31/2018			0
2018	TPA_0	Company 3208	DB	PR	1/1/2018			0
2018	TPA_0	Company 3213	DB	PR	1/1/2018			0
2018	TPA_0	Company 3214	DB	PR	1/1/2018			0
2018	TPA_0	Company 3364	PS	JR	12/31/2018			0

Admin Data Entry Record (Fields with highlighted labels are from previous TrackingYear record)

Tracking Year: 2018 TPA: TPA_0 Company: Company 2565 ID #: 2565

Plan Type: DB Team: KS Division: TPA

Val Date: 01/01/2018 Census Rec'd: 03/21/2018 5500 to ER: Testing Req'd: 03/21/2018 Testing Required

Val Mailed: Contrib Rec'd: Funding Notice: Testing Sent: 04/10/2018 Testing Done

Val Signed: Assets Rec'd: PBGC to ER: PBGC Covered

AFTAP (%): 0 Ptp Count: PBGC MyPAA Final:

Val Comment: PBGC Comments: Testing Comments:

As an example of a focused workflow view, 'Valuation Status' is shown below:

Valuation Status

Case Tracking Table

Filter Criteria

Tracking Year: 2018
 Val Mailed: NULL
 Val Date: All
 Team: All
 Type: All
 Days In: All

Sort Criteria

Days In: No Sort
 Tracking Year: Ascending
 TPA: Ascending
 Company: Ascending

Change Filter/Sort

Records 551

TrackingYear	Days In	TPA	Company	Type	Team	ValDate	Val Mailed	Val Signed
2018		TPA_0	Company 2565	DB	KS	1/1/2018		
2018		TPA_0	Company 2717	DB	PR	1/1/2018		
2018		TPA_0	Company 2754	DB	PR	1/1/2018		
2018		TPA_0	Company 2776	CB	PR	1/1/2018		
2018		TPA_0	Company 2858	CB	PR	1/1/2018		
2018		TPA_0	Company 2859	401K	JB	12/31/2018		
2018		TPA_0	Company 3025	401K	JB	12/31/2018		
2018		TPA_0	Company 3208	DB	PR	1/1/2018		
2018		TPA_0	Company 3213	DB	PR	1/1/2018		
2018		TPA_0	Company 3214	DB	PR	1/1/2018		
2018		TPA_0	Company 3364	PS	JB	12/31/2018		

Valuation Status Record

ID # 2565 Company Company 2565 PYE 12/31

Team KS TPA TPA_0 EOY

Division TPA Tracking Year 2018 Plan Type DB

Days In Val Signed Data Req

Val Date 01/01/2018 AFTAP (%) 0 Re-Request

Final Cert Val Comment

Val Mailed

Census Rec'd 03/21/2018

Contrib Rec'd

Assets Rec'd

Edit Save Cancel Extract Close Screen

Ancillary Data Management

This tab provides access to functions associated with TPA services but not directly concerned with routine plan administration.

Plan Management Case Tracking Management Admin Data and Reports **Ancillary Data Management** User Management

Proposal Log

TPA

Plan Termination Tracking

Project Tracking

Benefit Tracking

Documents In Process

DB Restatement

Here is a short description of these functions:

- Proposal Log: Track new business prospects with contact/plan information, activity dates, and status
- TPA: This is the master list of TPAs affiliated with clients
- Plan Termination Tracking: Tracks PBGC interaction and status
- Project Tracking: Special project tracking
- Benefit Tracking: Participant benefit calculation request tracking
- Documents In Process: Tracks client document status, review process, action dates, and comments
- DB Restatement: Tracks status, review, and dates associated with plan restatement. Provides tools to select existing plans for restatement.

User Management

This screen manages users with these features:

- Edit Entitlements
 - These provide access to various functions in the application
- Add User
- Delete User
- Reset Password

The screenshot shows the 'User Management' window of the 'Case Tracking' application. The window title is 'Case Tracking' and it has standard Windows window controls. The interface includes a menu bar with 'Plan Management', 'Case Tracking Management', 'Admin Data and Reports', 'Ancillary Data Management', and 'User Management'. A 'UserID' dropdown menu is set to 'StevePS'. The main area is divided into three sections: 'Available' (listing functions like 'Plan Management Edit', 'Case Tracking Management Edit', etc.), 'Entitlements' (with navigation arrows), and 'Current' (showing 'SuperUser'). To the right, there are two forms: 'New User' (with fields for 'UserID' and 'Temporary Password', and an 'Add' button) and 'Set Temporary Password for Selected UserID' (with a 'Temporary Password' field and an 'Update' button). At the bottom, there are 'Update', 'Cancel/Restore', and 'Delete' buttons. The status bar at the bottom left reads 'Version: 1.0.0.4 Database: D:\ParkereSSe Data\Demonstration\CaseTracking.mdb'.

Common Screen Tools and Features

All views and functions provide the following tools and features:

The screenshot displays the 'Case Tracking' application interface. At the top, there is a navigation menu with options: Plan Management, Case Tracking Management, Admin Data and Reports, Ancillary Data Management, and User Management. The main area is divided into two sections: 'FCPA Plans Table' and 'FCPA Plans Record'.

FCPA Plans Table: This section contains a 'Filter Criteria' panel on the left with dropdowns for Team, Division, and Type. Below it is a 'Sort Criteria' panel with dropdowns for Plan # and Company, and a 'Change Filter/Sort' button. A '# Records' field shows 638. The central 'DataGrid' is a table with columns: LDA#, Company, Official Contact, Title, FirstName, LastName, Salutation, and Operational Contact. A 'Search' button is located above the table. The first row (LDA# 2312) is highlighted in blue.

FCPA Plans Record: This section has tabs for General, Plan Contact, Services Contacts, PBGC, Misc. and Comments, and Other. The 'General' tab is active, showing fields for ID # (2312), Company (Company 2312), Plan Type (CB), Employer EIN (00-0000000), Team (KS), Plan Name (Company 2312 CB_Plan), Document (Corbel), Trust EIN (00-0000001), Division (TPA), TPA (TPA_325), Last Fee Incr (03/08/2008), PIN (002), Service Level (Standard), Type Detail (Acc), FAS Type (<Unknown>), and PYE (12/31). A 'Data Edit' button is located to the right of these fields.

At the bottom, there is a 'Button Bar' with buttons for New, Edit, Save, Cancel, Extract, Delete, Archive, and Restore. A 'Status Bar' is located at the very bottom, displaying the application version, database path, and status message.

- **Window Size:** The Window size can be changed by dragging the horizontal/vertical borders. The DataGrid resizes to fit the new window showing more or less rows and columns.
- **DataGrid:** View-only full record data. Row can be selected by clicking on a cell or left-side row border. Select row is highlighted and data shown in the Data Edit section. Data column widths can be adjusted.
- **Search:** Clicking on a text valued column header brings up a Search window. Text (full or portion) can be entered and the first row that contains the text will be highlighted in the DataGrid. A Next Row button finds the next row with the test. Closing the Search window leaves the last found row selected (highlighted).
- **Filter/Sort:** Displays the current data filter and sort criteria, reflected in the displayed data in the DataGrid. Selecting 'Change Filter/Sort' brings up a window where filter and sort options can be edited. A Default option is provided to restore the application defaults for the function.
- **Data Edit:** Displays data for the selected DataGrid row. This is where data is edited.
- **Button Bar:**
 - Provides options to Edit, Save and Delete the selected DataGrid row. New rows can also be created. Not all buttons are available for all functions.
 - Extract button writes current DataGrid rows to an Excel workbook. Current Filter and Sort criteria are also written to the workbook.
- **Status Bar:** Contains:
 - Application Version
 - Database path (Access) or SQL Server database name
 - Status Message: Indicates mode or current process