

## How to request audit documentation via PlanFocus®

## **Audit Documentation Request**

Use the **Audit Documentation Request** form on PlanFocus to request documentation for selected transactions identified during a plan audit. Only users designated with the role of *Compliance and Fee Management* have access to this form. Using the online form ensures fast, reliable request submission. Please note that requested audit samples are primarily delivered via PlanFocus. Each submission will be reviewed for In Good Order (IGO) or Not In Good Order (NIGO) status. Expect to receive notification in PlanFocus if your task is NIGO. A checklist will be returned indicating the reason for the NIGO status. NIGO status requires a new submission.

A separate form is required for each plan year end being audited and only one form for legally combined plans. All samples should be selected from the specific reports noted on each transaction tab from within the Plan Financial Reporting package. Please note that fields marked with an asterisk are required fields. Use the *tip* icon to learn more about a particular field.

On the PlanFocus home page, select Plan Sponsor Forms	HOME	ADMINISTRATION	REPORTING	COMPLIANCE	RESOURCES	DOCUMENT CENT	ER
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(based upon the user's PlanFocus credentials)		Requestor Phone Number 999	- 888 - 7	7777			
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## **Audit Request Type**

Select *Plan Financial Audit* (and Initial Request or Subsequent Events Testing) or *IRS/DOL/Other Audit* (and Initial Request or Transaction Testing).

- A Plan Financial Audit refers to testing related to the 5500 Reporting process.
- An IRS/DOL/Other Audit refers to any other type of regulatory examination including transaction testing if selected.

If *Initial Request* is selected for an IRS/DOL/Other Audit, then the user must attach a PDF copy of the audit request or IDR from the government agency.

In the **Transaction Samples** section, there are different tabs for different transaction types. Multiple tabs can be completed as needed on each form. Select from:

- Distributions
- Rollover Contributions and Transfers
- Contribution Allocations
- Enrollments
- Loans

Fill in the following:

- Participant ID
- Transaction or Issue Date

- Name
- Enter Exact Amount

**Note:** Transaction types that remain unselected will be checked as *Documentation not required for this category*.

You can select your samples from the suggested plan financial report(s) above each transaction category. Samples requested from sources other than the specific reports within the Plan Financial Reports package will result in a not in good order request. Please note, you can also copy and paste your samples directly from the .csv versions of the reports into the form.

To retrieve your requested documentation, select *Requested Audit Documentation* from the *Compliance* tab. Requesters will receive a notification when the audit package becomes available.

2 Audit Request Type	
Select Audit Request Type     Pan Financial Audt     Initial Request     Subsequent Events Testing     RSDOL/Other Audt	

2 Audit Request Type	
Select Audit Request Type	
Plan Financial Audit	
RESOCIONELAUSE     Initial Request	
NOTE: You can only upload PDF files.	
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Transaction Testing	
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		Contribution Allocations	Enroliments	Rollover Contribut		Loans		
bocumentation will include related forms and check copies or a capture of our payment screen for EFT payments								
Suggested report(s) in the year end reporting package to review:								
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HOME	ADMINISTRATION	REPORTING	COMPLIANCE	RESOURCES	DOCUMENT CENTER				
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