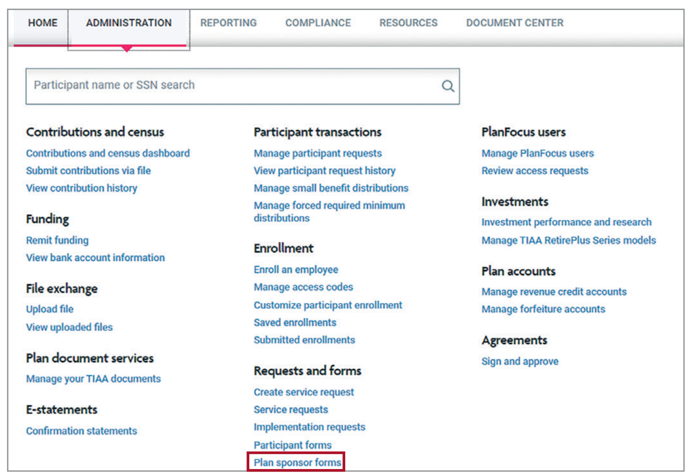
How to request audit documentation via PlanFocus®

Audit Documentation Request

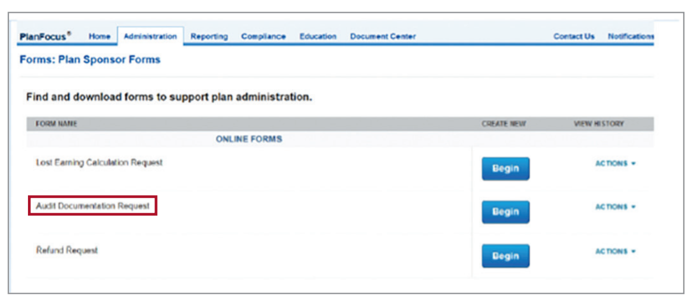
Use the **Audit Documentation Request** form on PlanFocus to request documentation for selected transactions identified during a plan audit. Only users designated with the role of *Compliance and Fee Management* have access to this form. Using the online form ensures fast, reliable request submission. 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* from the *Administration* tab.

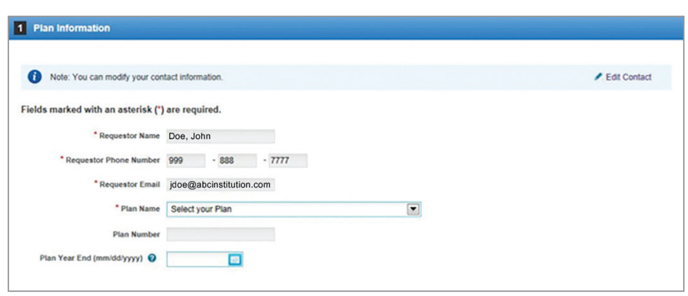


In the list of online forms, select *Audit Documentation Request*.



In the **Plan Information** section, the user information will prefill based on the login credentials.

- Choose the *Plan Name* from the drop-down menu (based upon the user's PlanFocus credentials)
- The *Plan Number* is prefilled
- Select *Plan Year End*



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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.

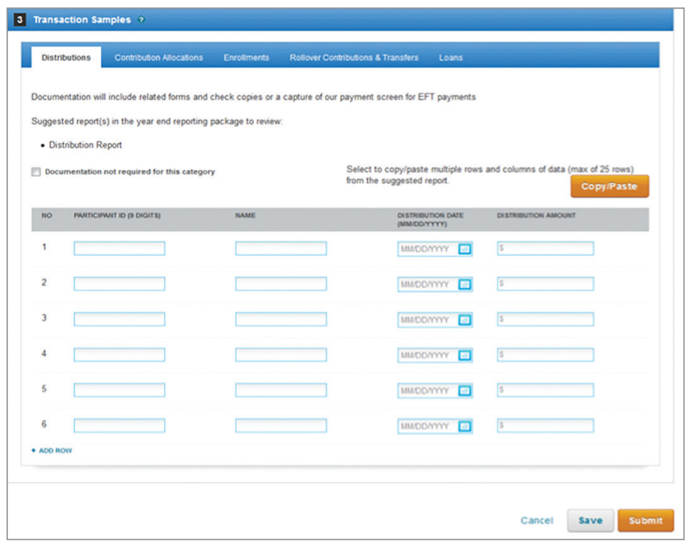
In the **Transaction Samples** section, there are different tabs for different transaction types. Multiple tabs can be completed as needed on each form. Select from:

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

Fill in the following:

- Participant ID
- Name
- Transaction or Issue Date
- 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.