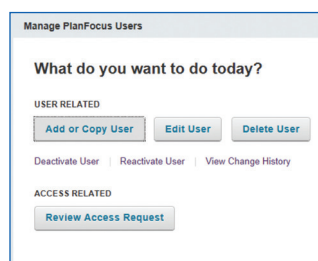


PlanFocus® Reference Series: Managing site users



Easily manage your PlanFocus users

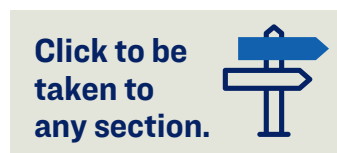
To help run your plan effectively, internal colleagues and outside providers may need access to PlanFocus. But not everyone needs access to everything. PlanFocus allows you to control what users can see and do on the site, helping you:

- Protect sensitive plan and participant information
- Ease plan management
- Improve the employee experience

What you can do

PlanFocus makes it easy to:

- Add, edit and delete users
- Deactivate and reactivate users whose roles are temporarily suspended
- View a history of user changes
- Review and approve access to third-party firms
- Complete the annual user confirmation process



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Overview—How it works

PlanFocus will take you through a series of questions to help you set up and manage your users. For all users, the following information is needed:

- Type of user
- User info (name, email address, work phone and mailing address)
- User access levels
- Privacy options
- PIN or unique ID so the user can log in and register

Types of users

Plan Administrators

All users within your organization are considered Plan Administrators. In addition, there are three levels of access:

- **Plan Sponsor (or Location Sponsor)**—Can add and edit all users, and take actions.
- **Responsibility Owner**—Can add and edit users, and take actions within their areas of responsibility.
- **Access Rights Holder**—Can take action for their assigned roles only.

External users

A legal counsel user is added like a plan administrator. You do not need to use the “Manage Firms” tab to add or manage this type of new user.

Is this user an employee of your organization? (Plan Administrator)

☐ Yes ☒ No

Professionals outside your organization may also need access to PlanFocus. You must give access to the firm in which they are employed. The firm will then give access to individuals at their firm who will be providing services to your institution. More information is provided within the **Managing firms** section of the guide.

Access levels

Plans—Users can have access to any or all plans. They can also have different roles for each plan.

Roles—Users can be assigned to any or all roles within a plan (see “User roles” for list of roles available).

Actions—For each role they are assigned, users can be allowed to:

- Edit & View
- View Only

Access to Plan Review

For plans providing salary information, users can be given access to your Plan Review, which provides insights into your plan’s performance along with peer benchmarks to help you improve your plan.

Assign Roles for Selected Plan(s)

1. Assign Contributions and Enrollments roles?

☒ Yes ☐ No

☐ Grant this person access to all Contributions and Enrollments roles

☒ Grant this person access to some Contributions and Enrollments roles

☒ Contributions

Specify access: ☐ Edit & View ☒ View Only

☒ Eligibility & Enrollments

Specify access: ☒ Edit & View ☐ View Only

☒ Funding

Specify access: ☐ Edit & View ☒ View Only

Privacy options

Participant data—Users can be given access to this sensitive data or not. You can offer access to:

- Participant balances
- Compensation data
- Social Security numbers

4 Privacy Options

Determine which participant details your site user will be able to view on PlanFocus.

☒ Show participant data ⓘ
This option allows your site user access to participant details. This must be selected if you want to choose any of the following Privacy Options below.

☒ Show participant balances

Applies to account balances only. Does not apply to vested or loan balances. Note that the Plan Financial Reports Package always displays participant balances.

☐ Show compensation data

☐ Show unmasked Social Security Numbers

If you are giving this user access to the Compliance and Fee Management role, note that the Plan Financial Reports Package always displays unmasked Social Security Numbers.

User roles

Below are the roles that can be assigned to PlanFocus users.

Contributions and Enrollments

- **Contributions**—Sends TIAA contribution data for your participants.
- **Eligibility & Enrollments**—Monitors eligibility, enrollment and salary deferral activity, and enrolls participants manually when necessary.
- **Funding**—Sends electronic fund transfers to TIAA on behalf of your organization.

Distributions and Loans

- **Distributions**—Manages information and approvals about plan distributions, participant withdrawals and transfer requests.
- **Loans**—Manages information and approvals about loan requests.

Compliance and Fee Management

- **Fee Disclosures**—Reviews fee and expense information for legal and regulatory requirements.
- **Plan Financials**—Reviews the plan financial report package for your plan's reporting needs and accesses any available Plan Economics Reconciliation reports.

Revenue Credit Account

- **Service Provider Management**—Requests payments from your plan's Revenue Credit Account and manages the plan's service providers.
- **Plan Servicing Credits Management**—Requests Plan Servicing Credits to participant accounts.

Plan and Investment Changes roles

- **Investment Management**—Reviews and manages plan investment options, including fund allocations, portfolio sets and Qualified Default Investment Alternatives.
- **Plan Changes**—Reviews or authorizes plan changes and enhancements.

How to manage users

Quick start

All actions except the annual user confirmation process can be done using the *Quick Start* button on the “Manage PlanFocus Users” main page. Answer all the questions to complete your task.

The screenshot shows the TIAA PlanFocus® dashboard. On the left is a dark blue sidebar with navigation links: SmartPlan, Reports, Payroll, Participant services, Plan management, Compliance & audit, Forms & documents, Resources, PlanFocus user access, and Service requests. The main content area has a search bar at the top labeled 'Participant name or SSN search'. Below the search bar are four columns of links: 'Contributions and census' (Contributions and census dashboard, Submit contributions via file, View contribution history), 'Funding' (Remit funding, View bank account information), 'File exchange' (Upload file, View uploaded files), 'E-statements' (Confirmation statements), 'Participant transactions' (Manage participant requests, View participant request history), 'Enrollment' (Enroll an employee, Customize participant enrollment, Saved enrollments, Submitted enrollments), 'Requests and forms' (Create service request, Service requests, Participant forms, Plan sponsor forms), and 'PlanFocus Users' (Manage PlanFocus users, which is highlighted with a red box). Other sections include 'Investments' (Investment performance and research, Manage TIAA RetirePlus Series models) and 'Plan accounts' (Manage revenue credit accounts, Manage forfeiture accounts).

This screenshot shows the header of the 'PlanFocus Users: Manage PlanFocus Users' page. It includes a 'PRINT' button and a 'HELP' button. Below the header, there is a 'Need help?' link and a 'Quick Start' button, which is highlighted with a red box.

The screenshot shows a modal window titled 'Manage PlanFocus Users'. It asks 'What do you want to do today?' and lists 'USER RELATED' actions: 'Add or Copy User', 'Edit User', and 'Delete User'. Below these are links for 'Deactivate User', 'Reactivate User', and 'View Change History'.

Adding or copying users

Use the **Quick Start** button OR “Add or Copy User” tab.

- Complete the full profile for internal users, or “Plan Administrators.”
- If a new user will have the same roles and access as an existing user, you can copy that user’s settings to your new user.
- The role and access rights of a “Legal Counsel” is preselected to make setup easier. You can still change any of the settings if you choose.

PlanFocus Users: Manage PlanFocus Users

Need help?

Quick Start

Edit Users by Plan and Role

Edit Users by Name

Manage Firms

View History

Add or Copy User

Is this user an employee of your organization? (Plan Administrator)

☒ Yes

☐ No

Do you want to copy an existing user?

☒ Yes

☐ No

Search by Last Name

Select	Name	User Type
<input type="radio"/>	John Smith	Plan Administrator

Completing the profile

- Once the profile is complete, enter a one-time access code/PIN so the user can log in and register. This number must be provided to the user offline. It will not be sent automatically.

Personal Identification Number

Please enter a one-time Personal Identification Number (PIN) or unique ID that your designated contact will use to log in and register on the system.

* PIN

(8-12 alphanumeric characters)

Editing users

Edit Users by Name

Use the **Quick Start** button OR “Edit Users by Name” tab.

- Click on a user’s name to view the user’s profile OR
- For any name, choose an action from the “Actions” drop-down menu.

Displaying 1 to 18 of 18 users

NAME	USER TYPE	REGISTERED	USER ADDED	EXPIRATION DATE	LAST LOGIN	ACTIONS
John Smith	Plan Administrator	✓	06/12/2018		10/02/2020	View Profile Edit Details Edit Access and Privacy Deactivate Delete
John Smith	Plan Administrator	✓	07/23/2013		04/06/2014	
John Smith	Plan Administrator	✓	05/04/2020		04/29/2021	

- **Deactivate:** Temporarily suspends access to PlanFocus
- **Reactivate:** Only displays for deactivated users

Replacing yourself as a user

As a plan sponsor you can name your replacement for one or more of your plans before you move to a new role or take an extended leave. If you remove yourself and still need access to PlanFocus, the new plan sponsor will need to assign you the appropriate roles.

Edit Users by Plan and Role

This view is only available to Plan Administrators who are Sponsors or Responsibility Owners. It allows you to see who and how many people are authorized for each role by plan.

Displaying 1- 4 of 4 plans

Update Plan Sponsor for Multiple Plans

ABC organization - 102373

Plan Sponsor: x John Smith [Update Plan Sponsor](#)

Contributions and Enrollments

Responsibility Owner: [+ ASSIGN USER](#)

Access Rights Holder(s):

- x Smith, John (View Only rights)
- x Smith, John
- x Smith, John
- x Smith, John (View Only rights)
- x Smith, John (Deactivated)
- x Smith, John (View Only rights)
- x Smith, John (View Only rights)
- x Smith, John (View Only rights)

Managing firms

To better service your plan, you can grant access to PlanFocus and Business Edge to a third party, such as a consulting, third-party administrator, or auditing firm.

Go to the “Manage Firms” tab and click on the “Add a Firm” button to give access to a new third-party firm.

If a third-party firm has requested access, you can review the request and either make edits, approve or decline the request by selecting the Actions menu. Here you can also select which plan to assign to the firm and determine if any expiration dates are required.

Once a third-party firm has been added, you can view or update the firm level access or view the users who have been assigned by the firm by selecting the “View firm profile” link.

Specific users at the firm must be added by the third party’s Firm Manager. To view users assigned by the Firm Manager, select “View firm profile.”

Edit Users by Plan and RoleEdit Users by NameManage FirmsView HistoryAdd or Copy User

Firms

ADD A FIRM

...

FIRM NAME ▲	TYPE OF SERVICE	NO. OF PLANS	ACTIONS
ABC Title	Plan consulting		<div>View firm profile</div> <div>View/modify permissions</div> <div>Terminate firm access</div>
ABC Title	Auditing		
ABC Title	Auditing		

Viewing change history

This shows you a history of changes made to users’ access over the past 12 months.

Use the Quick Start button OR “View History” tab.

Edit Users by Plan and RoleEdit Users by NameManage FirmsView HistoryAdd or Copy User

View a history of changes made over the past 12 months.

Last Name

Date Range

Plan Number ?

From

To

Search

Results Per Page

20

Page

1

of

2

Go

Next

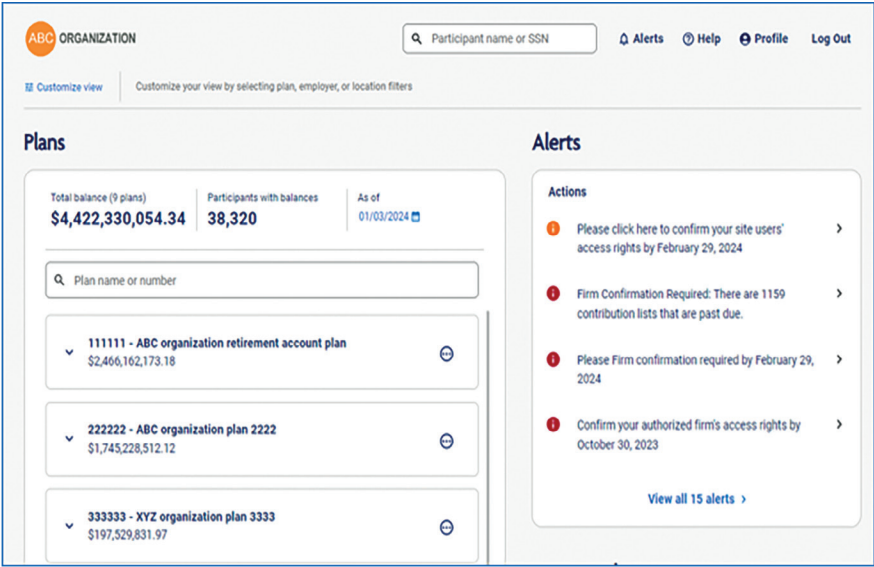
DATE OF CHANGE	NAME	ACTION	ACTION TAKEN BY
05/04/2021	Smith, John	Deactivated	TIAA-CREF ON BEHALF OF SMITH, JOHN

Confirming PlanFocus users

Due to the sensitive nature of plan and participant data, you are required to review and confirm the access rights of PlanFocus users at least once per year. If you do not validate the access rights for your site users by the due date, they will lose access to PlanFocus.

Plan Sponsors and any Location Sponsors will receive email notifications and alerts on the PlanFocus homepage when it is time to complete this security process. Click on the alert to see a list of users. You can:

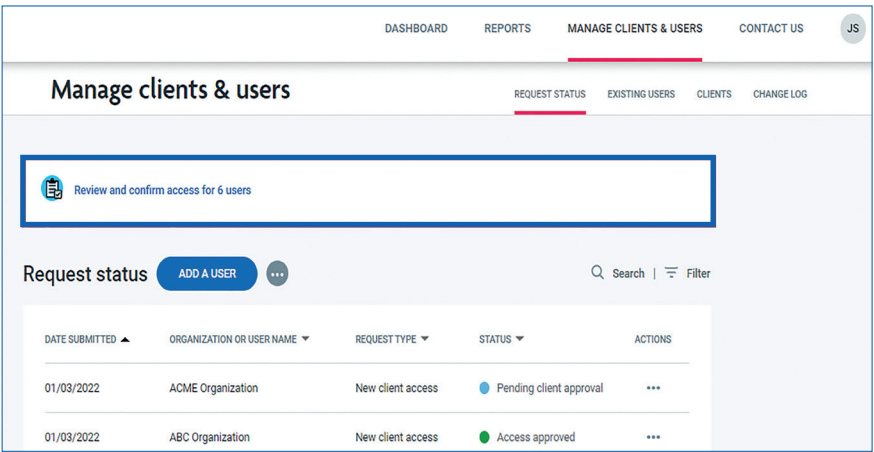
- Delete users who no longer require access.
- Review and update all user information, roles and access rights.



Confirming Business Edge users

To ensure your plan and participant data is only accessible to those third-party firms that are actively engaged with your TIAA retirement plans, you will be asked to verify third-party firm access on an annual basis.

A message will appear near the top of the “Manage Firms” page to alert you. Please review and affirm access in a timely manner to avoid any unnecessary disruption. Individual user access verification within the partner firm will be managed by their designated Firm Manager.



Helpful hints

- Check the box next to “Reviewed User” to help you keep track of which users have been reviewed.
- If there is a checkmark in the “Registered?” column, the user has access to PlanFocus and has completed the registration process for their online accounts. Users who have not registered cannot access PlanFocus and have never logged in to the site.

Confirm PlanFocus Users

PRINTHELP

You are required to confirm your users' access rights. Delete users who no longer require access [x], then review and update entitlements for each user [+]. Checkboxes are an optional tool to help you track your progress. User access rights can be modified on this page only by the plan sponsor. [Responsibility owners](#) are delegated authority for specific plans and roles.

Last Name

User Type

Plan Number

Search

Download

Save and Return Later

Complete User Confirmation

+ EXPAND ALL

Page 1 of 3 Go Next

USER	USER TYPE	USER ADDED	LAST LOGIN	REGISTERED?	YOUR CHECKLIST
+ Anderson, Andrew x	Plan Administrator	04/22/2015	05/18/2021	✓	<input type="checkbox"/>
+ Blake, Betty x	Plan Administrator	04/21/2015	05/17/2021		<input type="checkbox"/>
+ Central, Cindy x	Plan Administrator	04/20/2015	05/16/2021	✓	<input type="checkbox"/>

Questions?



Go to *Resources* for plan sponsors under the *Resources* tab.



Contact your TIAA representative.



Call the Administrator Telephone Center at 888-842-7782.



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