

# DATAIR Pension Reporter 5500 Electronic Filing

## **Introduction:**

DATAIR's Pension Reporter allows you to easily and efficiently file your client's 5500 EFAST filings via modem or diskette.

## **Before You Begin:**

The first step is making application to EFAST to be a Transmitter for filings. This is done using an EFAST-1 form available from the EFAST web site, [www.efast.dol.gov](http://www.efast.dol.gov).

Once EFAST receives your form, they will issue you a forty-eight character Encryption Key which is used for modem filings, a six-digit Electronic Filer's Identification Number (EFIN) and a twelve character Password.

Second, you will need to have the individuals who sign as Plan Administrator and Plan Sponsor for the plans you wish to file electronically apply for their Electronic Signature Codes, also using the EFAST-1 form. You do not need Electronic Signatures for Trustees signing the Sch P or Actuaries signing the Sch B. The Plan Sponsor/Plan Administrator's signature is certification that you have signed paper copies of the Sch P and B's, as well as the rest of the filing, on file and can produce it on demand.

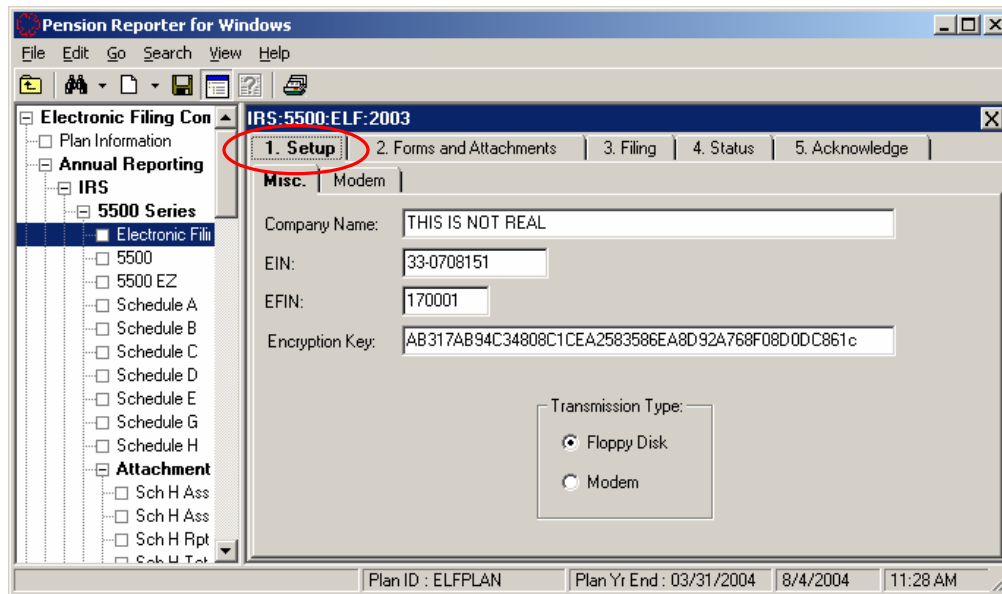
The EFAST-1 instructions indicate that the forms will be processed within one week of receipt, but we recommend not waiting until the last minute to submit your application. Be certain to read and follow the EFAST-1 instructions carefully. In particular, be certain to send it to the exact address indicated in the instructions. If you send it to the same location you file 5500's, you're likely to wait a month or more for your request to be processed.

We recommend that you review the publication EFAST-A User's Guide for Electronic/Magnetic Media Filing of Forms 5500/5500-EZ, available on the EFAST web site ([www.efast.dol.gov](http://www.efast.dol.gov)) if you want an in-depth description of electronic filing.

## **Step 1 - Entering Transmitter information into PR:**

Once you receive your transmitter information, you will need to enter it into Pension Reporter.

- a) Open up any plan and select a 2003 plan year.
- b) Click "Electronic Filing" in the Folder View (just above the entry for the Form 5500)



- c) Click the “1. Set Up” tab and enter your company name, EIN, EFIN, and your Encryption Key as received from EFAST in the appropriate fields on the screen. Be certain to accurately transcribe the information. Errors in the EIN, EFIN, or Encryption Key will result in rejected filings.

***NOTE:*** We strongly recommend that you do a test filing for your first electronically filed plan, since an acceptance error means that EFAST does not consider the forms as ever filed. If you find an error in your EIN, EFIN or Encryption Key during a test, correcting it will ensure that all of your live filings will be good and not be rejected for these errors. A list of all acceptance errors appears later in this documentation.

- d) Choose the default transmission medium by selecting modem or diskette. You can override this setting on a plan-by-plan basis when you file.

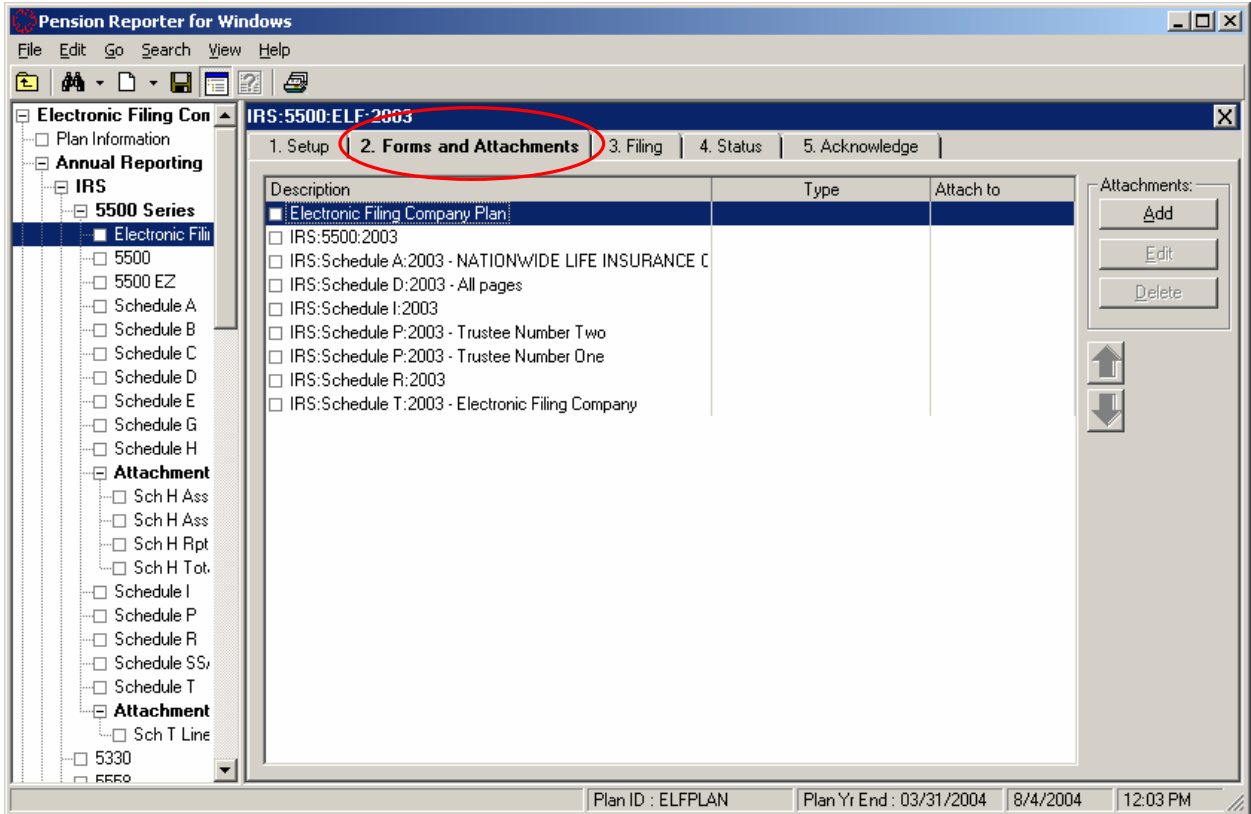
Note that “Modem” does not mean Internet. You must have a modem connected to a phone line in the computer being used to transmit the filings. Pension Reporter will use the modem to dial the EFAST data center directly to submit the filing.

DATAIR recommends modem filings since you will receive almost instantaneous results as to the acceptance or rejection of the filing. Diskette filings are also limited to the amount of information that will fit on a single floppy diskette. If attachments exceed the size of the diskette, you must file via modem. A filing may not span multiple diskettes.

Note: The information entered here is global for all plans and all plan years, in the same way that the 4419 form is global for all 1099 electronic/magnetic filings.

## Step 2 – Putting the Filing Together:

- a) Open the plan and plan year you wish to file.
- b) Select “Electronic Filing” on the FolderView
- c) Click the Tab 2 “Forms and Attachments” for a list of forms that will be included in the filing. Verify that all of the forms and schedules you expect to be filed are listed.



- d) The next step is to add any Attachments that are needed for the filing, such as accountant report, Schedule B, H, and T attachments, and statements that a 5558 was filed.

The following attachment formats are acceptable:

- ASCII character (text) format
- Microsoft Word Document (Word Version 6.0, or later)
- Corel WordPerfect Document (Version 6.0, or later)
- Adobe Portable Document Format (PDF) (Version 3.0, or later)
- Hypertext-Markup Language (HTML) format
- Microsoft Excel Format (Version 5.0, or later)
- Lotus 1-2-3 format (Version 3.0 or later)

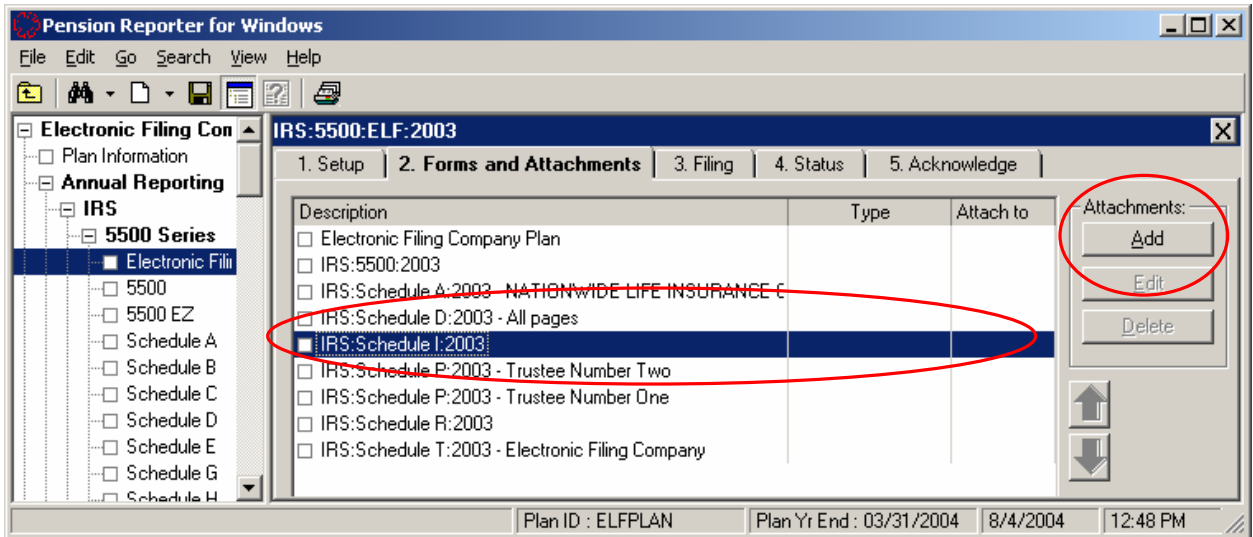
Note that any Sch H or Sch T attachments that are a part of Pension Reporter will automatically be attached to the filing as PDF files. You do not need to add them separately.

To add an attachment:

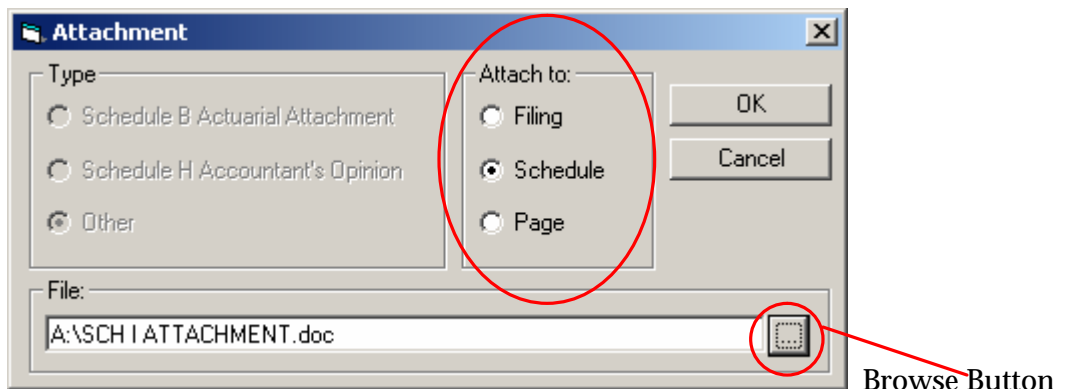
- 1) Highlight the Form or Schedule the attachment pertains to.

The top node shown, which lists the plan name, allows you to add an attachment to the plan itself as opposed to a particular form or schedule.

- 2) Click [Add]



- 3) Check the appropriate button in the "Attach to:" box. ("Filing", which is just a general attachment to the plan; "Schedule" which is an attachment to the 5500/EZ or a schedule which pertains to that specific form or schedule only; and "Page" which pertains to a specific repeating page of a Schedule. Depending on the form/schedule/filing selected, one or more "Attach To" options may be disabled.



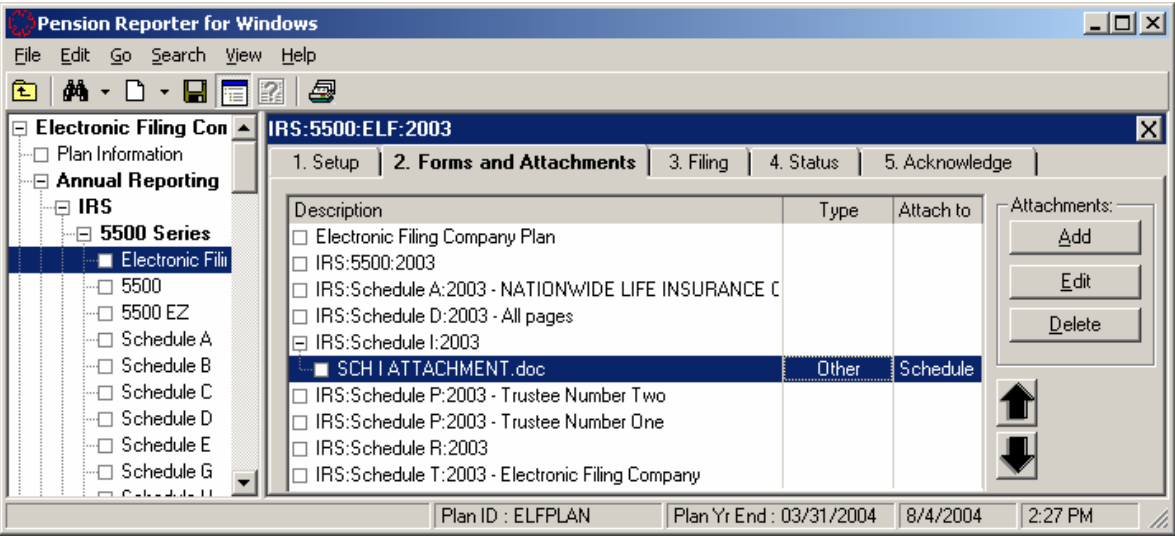
- 4) Check the appropriate "Type" of attachment.  
The Schedule B attachments are the attachments required in the instructions for the Schedule B. The Schedule H attachments are the attachments required in the instructions for the Schedule H, such as the Audit Report or the Assets Held at the end of the year. Any attachment which is not specifically mentioned in the

instructions for the Schedule B or the Schedule H should be marked as an “Other” attachment.

The Type of attachment is automatically determined unless you are doing an attachment to a Sch H or Sch B.

At this writing, the 5558 cannot be filed electronically, but if you checked Part I Box D on the 5500, you **must** have an attachment which states that “A paper copy of Form 5558, Application for Extension of Time to File Certain Employee Plan Returns, has been filed with the IRS for this plan.” This would need to be attached to the filing.

- 5) Click the Browse button at the end of the “File:” box to find the attachment on your computer or network. Click the file when found so that the data path and file name appear in the File name field. Once the attachment has been added to the filing, your screen will look like the following illustration. You must leave your attachment file in the same location on your computer as it was when you attached it to the filing until you actually transmit the filing to EFAST. If your attachment is not available at the time you create the diskette or transmit the filing, you will receive an error message and the process will stop.



[Edit]

The Edit button in the Attachment Box allows you to select a different attachment, change the type of attachment or change what it is attached to. It does not edit the content of the attachment itself. If you need change the content of an attachment, make the change in the attachment outside PR.

[Delete]

You can delete the attachment by highlighting it on the list of forms, and clicking the delete button in the Attachments box.

[Up] & [Down] Arrows

The Up and Down arrows can be used to move an attachment from one form to another if you inadvertently attached it to the wrong form.

### Step 3 – Signing and Transmitting the Filing

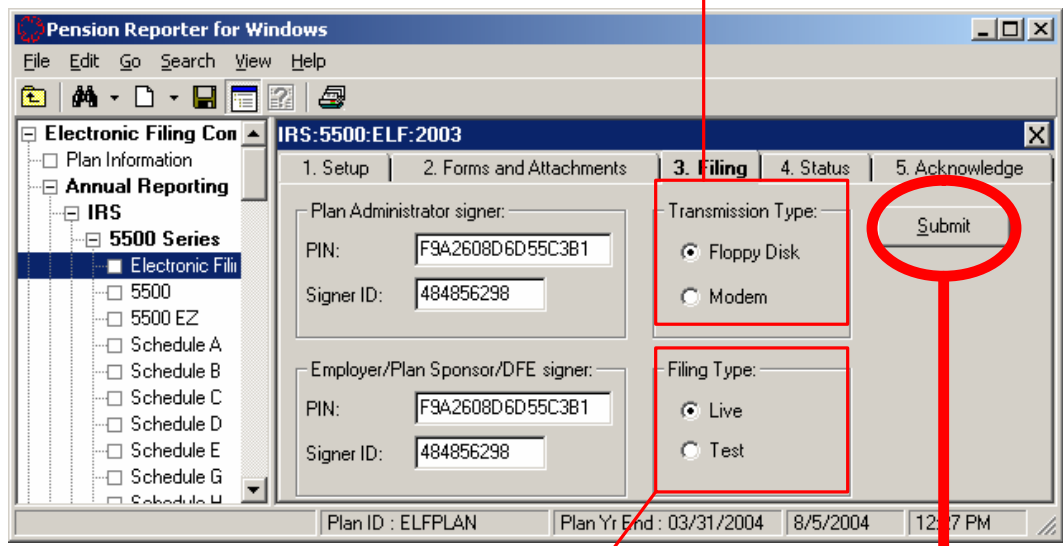
The next step in the filing process is to enter the electronic signatures to the filing, select the

- a) Click Tab 3 “Filing”.
- b) Enter the Signer 16 character PIN and 9 digit Signer ID for the Employer and for the Plan Administrator. If the same person is signing for both, you must enter their PIN and ID twice. 5500EZ filings need only be signed in one of the two sets of fields.

The screenshot shows the 'Pension Reporter for Windows' application. The 'Electronic Filing' tree view on the left is expanded to '5500 Series' > 'Electronic Filing'. The main window is titled 'IRS: 5500:ELF:2003' and has five tabs: '1. Setup', '2. Forms and Attachments', '3. Filing', '4. Status', and '5. Acknowledge'. The '3. Filing' tab is selected and circled in red. It contains two sets of fields for signing: 'Plan Administrator signer' and 'Employer/Plan Sponsor/DFE signer'. Each set has a 'PIN' field (containing 'F9A2608D6D55C3B1') and a 'Signer ID' field (containing '484856298'). To the right of these are 'Transmission Type' options: 'Floppy Disk' (selected) and 'Modem'. Below that are 'Filing Type' options: 'Live' (selected) and 'Test'. A 'Submit' button is located to the right of the 'Transmission Type' options. The status bar at the bottom displays 'Plan ID : ELFPLAN', 'Plan Yr End : 03/31/2004', '8/5/2004', and '12:23 PM'.

***Be certain to proofread what you enter into these fields. An invalid Signer PIN and/or Signer ID will generate an acceptance error and your filing will be rejected as not filed.***

- c) Check whether the Transmission Type for THIS PLAN is to be by diskette or by modem. (You set the default for your normal transmission type on the Set Up screen)



- d) Check whether this is a live filing or a test filing. As mentioned previously, we strongly recommend filing a Test filing before you file your first Live filing.
- e) Click the [Submit] button. For diskette filings, clicking the Submit button begins the diskette creation process. For modem filings, the [Submit] button will assemble the filing and connect to your modem to the EFAST Data Center and transmit (file) it.

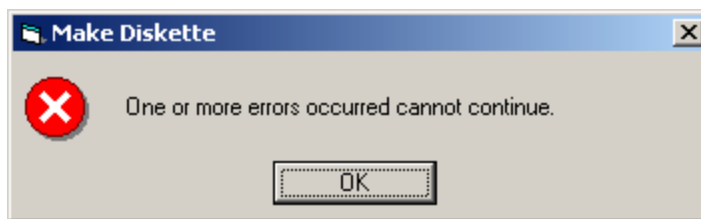
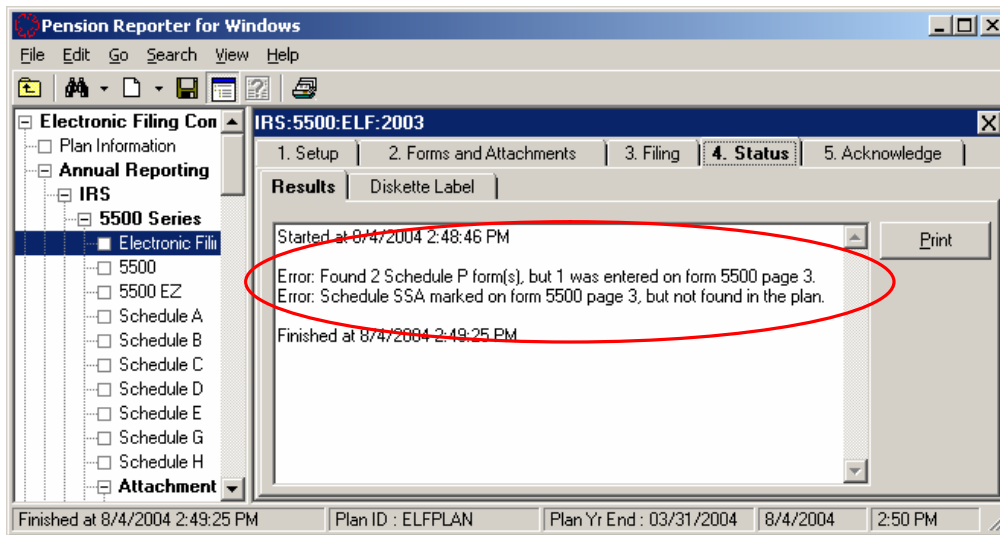
***Do not press [Submit] until you are absolutely certain the filing is complete and you are ready to transmit it.***

#### **Step 4 – Filing Submission Process Status**

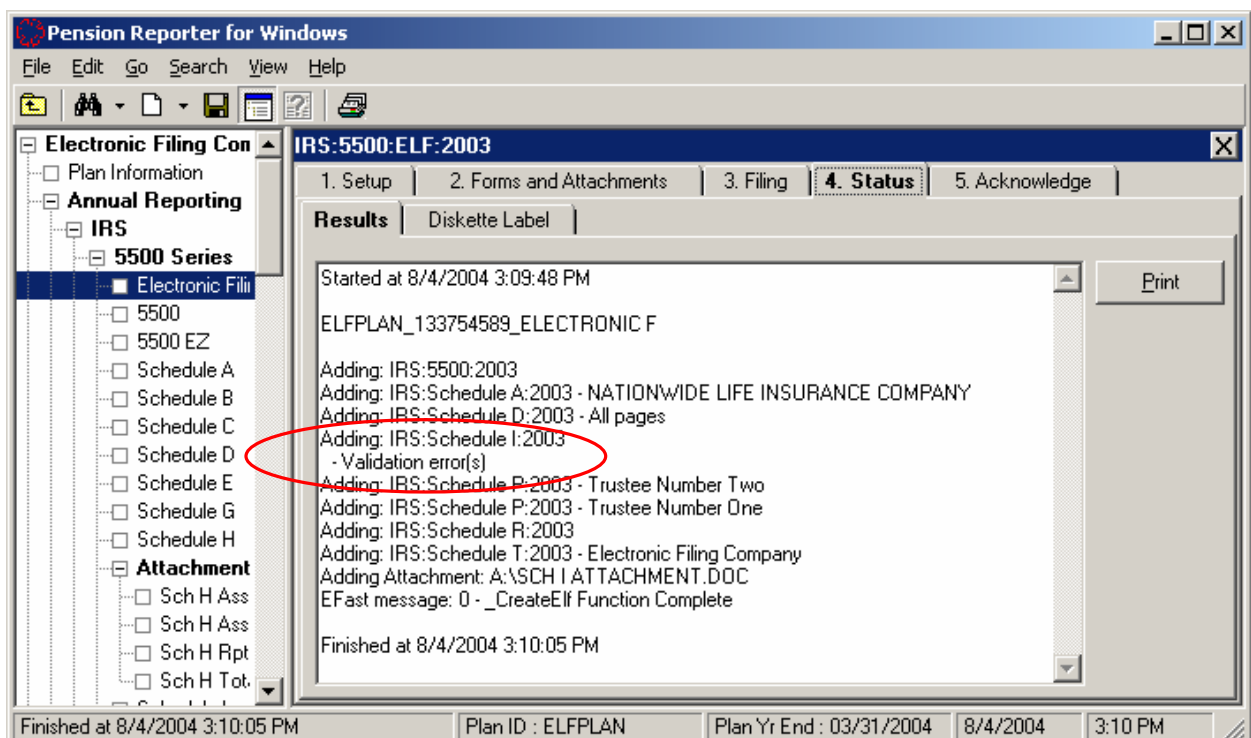
When the “Submit” button under Tab 3 “Filing” has been clicked, the Tab 4 “Status” screen opens and shows the progress of creating the electronic file. It will also show any errors incurred while creating the file. There are two levels of errors that are detected during the process of creating the file.

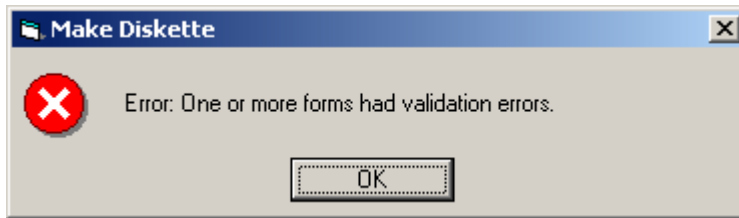
***IMPORTANT! If edit checks are turned off for a particular form, the system will not warn you of any errors on that form, just as you won’t receive warnings when they are printed.***

- ❖ The first will indicate to you that you have completed a Schedule, which you did not check off in Item 10 of the 5500 or in Item 6 of the 5500-EZ, or that you did not complete a Schedule that was indicated on the 5500 (Item 10) or the 5500-EZ (Item 6). This level of error will stop the creation of the file.

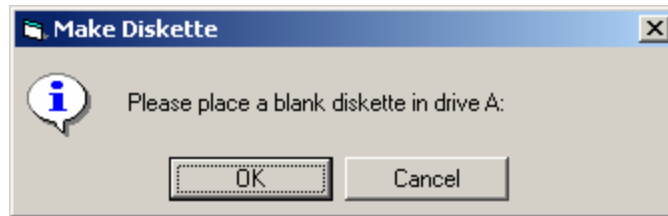


- ❖ The second level of errors is a repeat of the error messages generated when a form is printed, when the Validate button on the toolbar is clicked or during batch printing. If you ignored these messages when you printed the 5500 Series, you will receive a message on Tab 4 that these errors exist. And, no electronic file will be created.



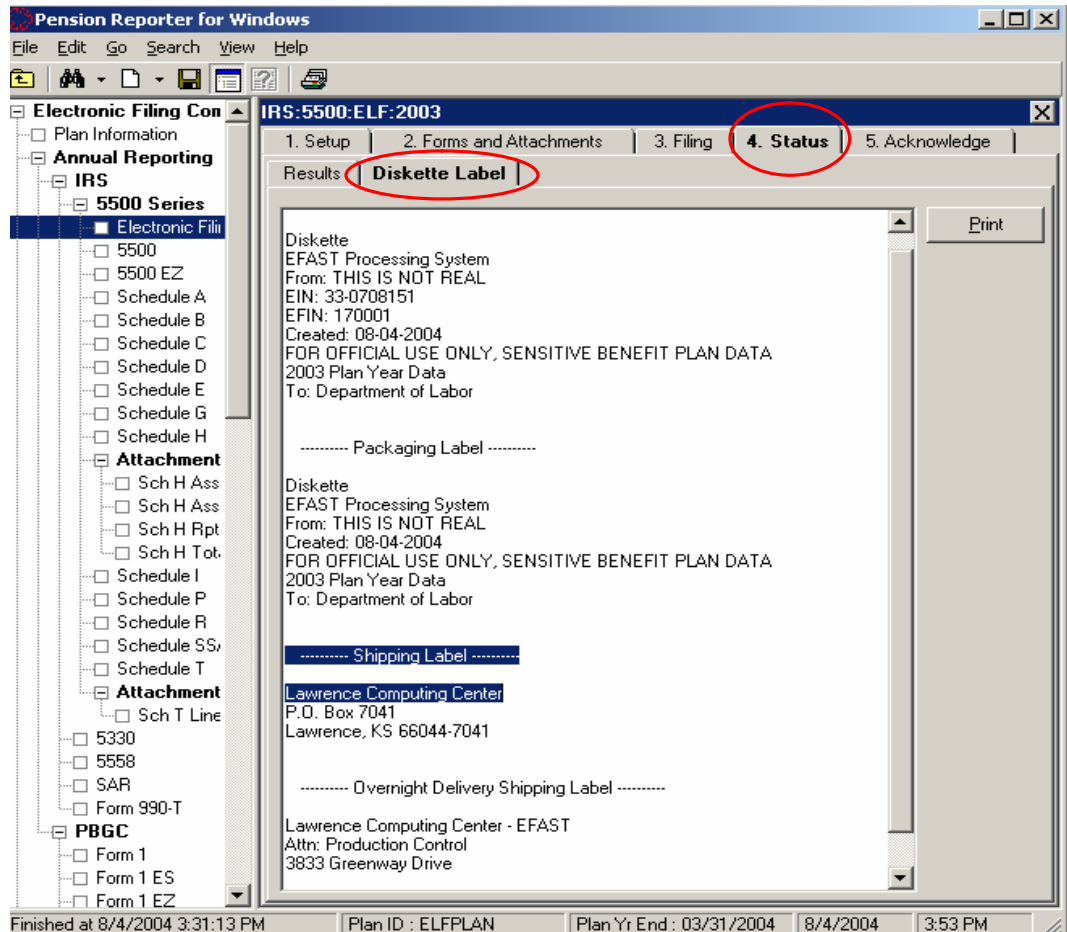


After going back and correcting the error on the Schedule I and then resubmitting, the following appears for diskette filers. Insert a blank, formatted, diskette as instructed.

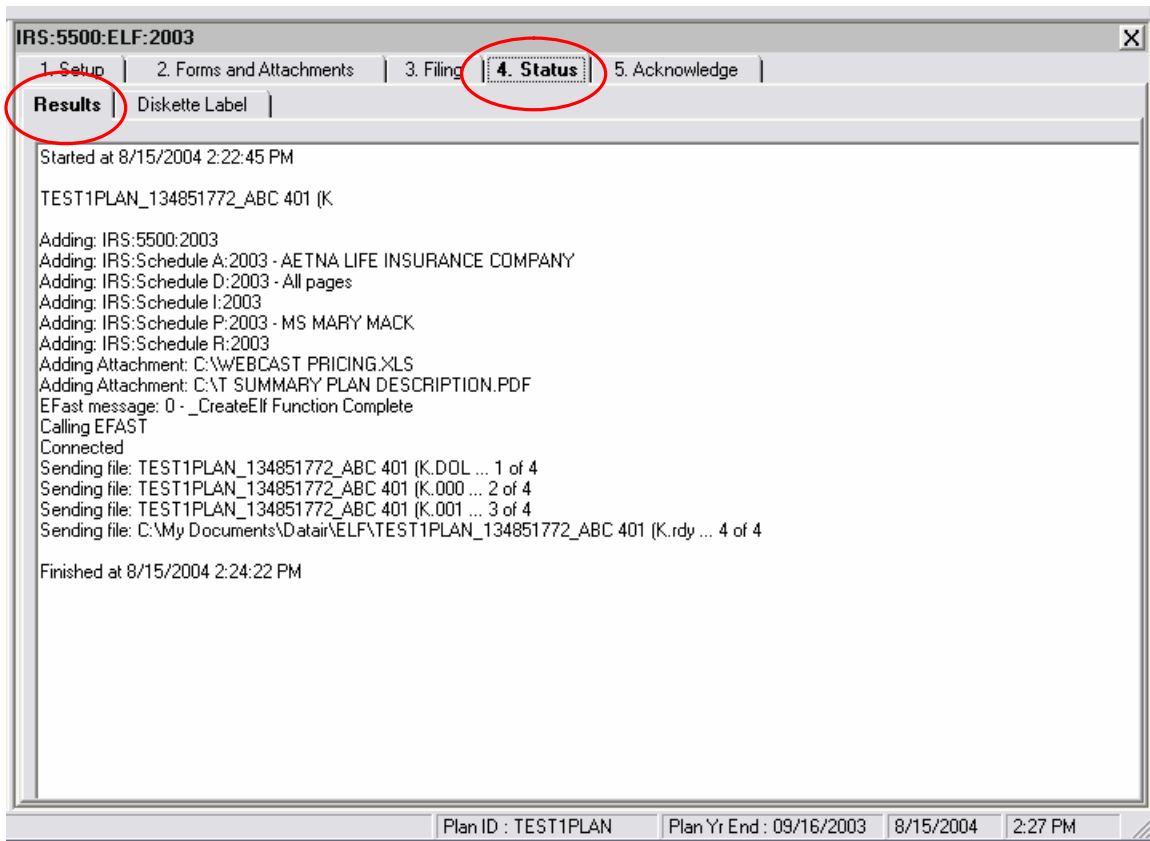


**NOTE: If the diskette you insert is not blank, the current contents will be ERASED and replaced with the filing. There may not be more than one filing per diskette.**

If filing by Diskette, you will also get instructions for the Diskette label, which can be printed for reference in preparing the labels.



Modem filers will receive a Results screen similar to the following message if there are no errors.



If you are filing via Diskette, follow the labeling instructions given on the screen. If filing via Modem, and no errors are shown on the Results screen, the filing was successfully transmitted to the EFAST Data Center.

### Step 5 – Acknowledgements

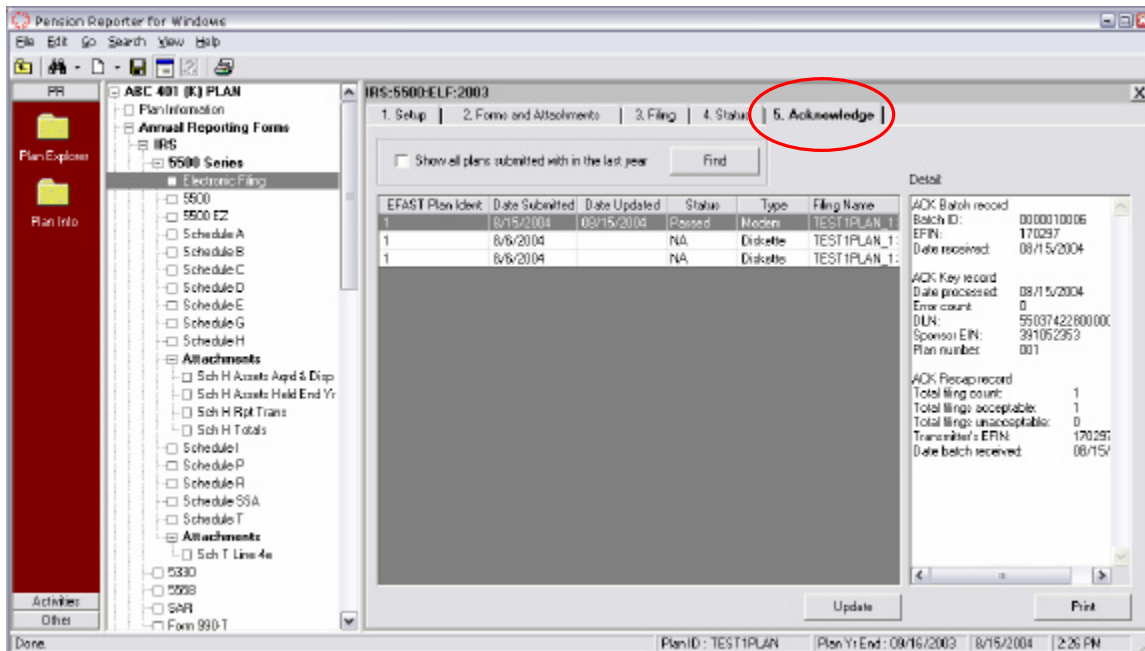
Acknowledgements are issued for each filing you submit. They indicate if the filing was accepted or rejected. An accepted filing does not mean that you won't receive further Correspondence Letters from EFAST regarding data contained on the filing, but it does indicate that the filing has been accepted as "Filed", and has passed a significant number of validity checks. A rejected filing indicates that the filing could not be processed and must be retransmitted after the identified filing errors are corrected. A Rejected filing is not considered "Filed", and must be corrected as soon as possible.

As a Transmitter you are responsible for logging onto the EFAST system with Pension Reporter and verifying the acknowledgments for each electronic filing that you submit.

To retrieve Acknowledgement electronically in Pension Reporter:

- a) Go to Tab 5 – Acknowledge
- b) Press the Update button at the bottom of the screen

The system will dial the EFAST data center and retrieve all pending acknowledgements and display them in the grid as shown.



Pension Reporter will look for and download all pending acknowledgement files for all plans (not just the currently selected plan) every time you retrieve acknowledgements using the “Update” button.

If you are filing via modem, all you will have to do is click the Update button which will fill in the “Date Updated” field and the “Status” field, as well as the Detail fields.

If the plan was submitted more than once, such as would be the case of an amended or rejected filing, there will be multiple entries for this plan as shown above. To see the detail for a particular transmission, highlight the desired transmission record and the acknowledgement details will be displayed if applicable. To print a copy of the acknowledgement, press the [Print] button.

To see all of your filings for the last year, check the “Show all plans submitted within the last year” box.

### **Additional Notes on Electronic Filing:**

Notify EFAST Consolidated Contact Center (866-463-3278) if any of the following conditions occurs:

- You do not receive an acknowledgement within 10 days after the transmission date;  
or
- You receive an acknowledgement for filings that were not transmitted on the designated transmission (i.e.: for the incorrect plan)

### ***EFAST Do's and Don'ts:***

Be aware that none of the following circumstances will ever be allowed in electronic filing.

- A plan year that exceeds 365 days (366 days in a leap year);
- Partial filing on paper and partial filing electronically;
- Part of a filing at one time and file the rest of it at a different time.
  - ❖ Follow the rules for amended filings if you discover you neglected to answer some questions:
    - Identify the amended filing as amended on the 5500 in Part I, Line Item B(2) or on the 5500-EZ in Part I Line Item (2);
    - Amended filings must be complete replacements of the original filings
    - Amended filings may NOT be transmitted until an acknowledgement of the original filing has been received.
    - Do not designate a filing as amended if it is a resubmission of a rejected filing, unless the rejected filing was an amended filing itself.
- Use any unsupported electronic media (Put down that 5 ¼" diskette!)
- Include an unsupported attachment type (See the list of supported attachment types in the Tab 2 explanation.)
- Neglect to include the Signer ID and PIN
- File via Modem without encrypting the file (Pension Reporter and your Transmitter Encryption Key will prevent this.)

**NOTE:** Using the PIN and Signer ID certifies to the DOL that all required signatures are *on file in the plan's records* including the following (as applicable):

- Signed Original 5500 or 5500-EZ
- Annual Report/Auditor's Opinion signed by the CPA
- Schedule B signed by the Actuary
- Schedule P signed by the Fiduciary
- Schedule SSA signed by the Signer

### ***Record Retention:***

The Transmitter is required to retain copies of his completed EFAST-1 and the Acceptance letters received from the DOL, a copy of each electronic filing and any acknowledgements received from the DOL. Both the Transmitter and the Signer must retain records in accordance with the requirements of ERISA section 107, which reads

“shall keep such records available for examination for a period of not less than six years after the filing date of the documents based on the information which they contain”.

***EFAST Initial Rejection Errors:***

The following are the initial rejection errors, as identified in Appendix B of Publication EFAST-A, that will result in the rejection of a live electronic/magnetic media filing. If you have a rejected filing, (Acceptance code of R in the Acknowledgement), you will have to make the changes required and resubmit the entire filing. DO NOT mark the resubmission as an amended return, unless the rejected filing had been marked an amended return.

**#0003 – Non-Standard Form or Schedule**

**Problem:** 5500 forms that do not meet the criteria for electronic filing were submitted.

**Resolution:** Contact DATAIR PR Support for assistance.

**#0008 – Decryption Error**

**Problem:** Your Encryption Key as entered into Pension Reporter does not match the Encryption Key which is based on your EIN and your EFIN. It is also possible that your EFIN or EIN was incorrectly entered into Pension Reporter.

**Resolution:** Verify your EIN, EFIN, and Encryption Key were entered correctly into PR. Contact the DOL's EFAST Help Desk for assistance if you are unable to identify any incorrect information.

**#0010 – Improper Format**

**Problem:** The filing was improperly formatted.

**Resolution:** Contact DATAIR PR Support for assistance.

**#0011 – PIN/Signer ID Authentication Failure**

**Problem:** The Signer ID and/or the Signer PIN are invalid.

**Resolution:** Verify with your Signers that they have given you the correct information, and that you entered it correctly in PR.

**#0012 – Filing Batch contains a Virus.**

**Problem:** A virus was detected in your filing (most likely in an attachment).

**Resolution:** You will need to remove the virus from your computer before attempting to file again.

**#0013 – Invalid Code.**

**Problem:** File contains an invalid Software Developer ID Code in the header of the file.

**Resolution:** Contact DATAIR PR Support.

**#0017 – Invalid Field**

**Problem:** Ad invalid field identifier was detected in the filing

Resolution: Contact DATAIR PR Support.

#0025 – Indeterminable Batch Type

Problem: Your file was not labeled as a Live or a Test batch.

Resolution: Contact DATAIR PR Support.

#0026 – Filing Count Conflict

Problem: The number of filings listed in the RECAP record do not match the actual number of filings in the batch.

Resolution: Contact DATAIR PR Support.

#0028 – Invalid Form Year

Problem: The form year in the header record is invalid or, if a test filing, the batch was submitted with two or more form years.

Resolution: Contact DATAIR PR Support.

#0099 – Errors exceed Maximum

Problem: You have more than 297 errors in your filing.

Resolution: Contact DATAIR PR Support and we will work with you to correct your filing before you retransmit it.