BaRT Invoice Generation & Release

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Document Overview

Purpose

This document has three main parts:

- Concepts – Essential concepts of the Billing and Revenue System software (BaRT) user interface, and how it fits in the overall revenue processing environment.
- Procedures – Step-by-step directions for using BaRT to generate view, update, and prepare invoices for release.
- User Interface Reference – Detailed explanation of how to work with each of the screens and dialogs.

BaRT is an invoice generator. It is used to view plan details, view and edit periodic and one-time billing fees, approve invoices and generate periodic reports on billing and revenue. Its main purpose is to prepare invoices for release.

On the back-end, BaRT feeds completed, approved invoices to the nightly automated billing process, which handles updates to Lawson Billing, Accounts Receivable and the General Ledger, and generates final invoices ready for release to customers.

This document covers the user interface features of BaRT.

Concepts

Overview

This section covers BaRT-specific concepts.

For additional information, see the Billing System “Final Documentation” library.

Also see the Glossary at the end of this document.

Roles in BaRT

When a user log on to BaRT, BaRT checks the user's profile to determine what menus will be visible and accessible.

Role	Definition
Invoice Preparer	Users who prepare invoices and approve routine invoices. The users will have update access to invoices for all plans (except for the Standard Plans). The PACE roles will determine what invoices are assigned to them but there is no limitation of the plans the users can update. For Standard Plans, only the users who are assigned to the plan in PACE will have access. The user will perform the first level approval for non-routine invoice.
Invoice Approver	User who approves non-routine invoices. The users will have update access to invoices for all plans (except for Standard Plans). The PACE roles will determine what invoices are assigned to them but there is no limitation of the plans the users can update. For Standard Plans, only the users who are assigned to the plan in PACE will have access. The invoice approver can approve both routine and non-routine invoices and do first level and second level approval for non-routine invoice.
Legal Compliance	Users who can update additional services for all plans, no access to other BaRT screens. These users are in Legal Compliance Services. Only the users who are assigned to the plan in PACE as the roles above will have access to Standard Plans. The role name was Technical services and services before and was changed to Legal Compliance.
SEI employees	Users who can update to additional services for the plan assigned to them, no access to other screens. These are mainly for Regional Pension Manager and Pension Consultant.

BaRT System administrator **(SFG Admin)**	The system administrator (super user) has access to all menus except for My Invoice. The following menu items are available only to BaRT system administrators: • Plan → Credits & Offsets → Upload Offset • Billing Oversight (all menus) System Maintenance (all menus)

The following menu items are available to Invoice Preparer and Invoice Approver:

- Invoicing (all menus except My Invoice)
- Reports (all menus)

	Invoice			**Additional Service**		**Offset**	**System Maintenance**
Pace Role Name	**Plan values**	**Routine approval**	**Non-Routine approval**	**Hourly**	**Flat Rate**		
Invoice Preparer	update	Yes	No	Update	Update	Read only	No
Invoice Approver	update	Yes	Yes	Update	Update	Read only	No
Legal Compliance	N/A	N/A	N/A	Update	Update	N/A	No
SEI Employees	N/A	N/A		Update - assigned plan only	Update - assigned plan only	N/A	No
System administrator	Update	Yes	Yes	Update	Update	Update	Update

Plans

Plan Types

- **DC** – Defined Contribution. Includes Trust and Group Annuity plans.
- **DB** – Defined Benefit. Includes Trust and Group Annuity plans.
- **Trad** – Traditional.
- **H&W** – Health & Welfare.

For detailed information on plan types, see the document, *Lines of Business Special Notes*.

Deductions, Credits, Offsets

Deductions

Credits

Offsets

An offset is an adjustment to an invoice. Offsets apply only to trust plans.

There are two types of offsets:

- A **Concession Offset** is an invoice credit, which will result in a *reduction* in the invoiced amount.
- A **Custody Offsets** is an invoice charge, which will result in an *increase* in the invoiced amount.

An **Offset History** is a complete record of concession and custody offsets, which come from a plan which is being migrated into the system. This option should only be used *once* for any migrating trust plans, at the time of migration.

If an offset has not been **released**, it will not show as being applied in the Invoice Balance.

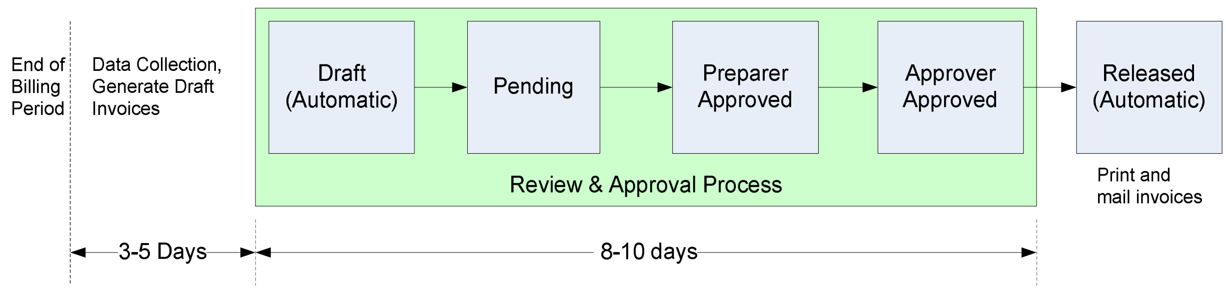
Invoices

Overview

At the end of each billing period, an automated process performs a data collection process, and then generates draft invoices. The review and approval process is intended to catch any unintended errors and omissions, and move the Draft invoices through to the Approved status.

Another nightly automated process picks up the Approved invoices and change them to the Released

Typical Invoice Status Flow (simplified)



Invoice Status

- **Draft** – This is the initial status set when a Draft invoice is created by the nightly batch process. When a Draft invoice is edited and saved, it is automatically changed to Pending.
- **Pending** – This is the status the invoice is in when someone is working on it. The exception to this statement is when someone takes it straight from Draft to Preparer Approved, Approver Review, or Deleted.
- **Approver Review** – A Preparer or Approver can set an invoice to Approver Review status from the Edit Invoice Screen. Internal Comments must be entered before an invoice can be put in this status.
- **Preparer Approved** – This is the first approval status set by a user (Preparer or Approver). If the invoice is non-routine it will need to be approved again by someone with the Approver role. If the person who Preparer Approved the invoice is an Approver they can immediately Save and Approve the invoice a second time to set the status to Approver Approved.
- **Approver Approved** – Once a non-routine invoice has been approved it is necessary for an Approver to approve the invoice before the nightly batch processes can create the final invoice and release it. This is true even when an Approver has set the Preparer Approved status on the invoice.
- **Approver Returned** – This status is set when an Approver rejects a

Preparer Approved invoice.
A Preparer or an Approver must to set the invoice status to Pending before updating the Draft Invoice and approving it again.

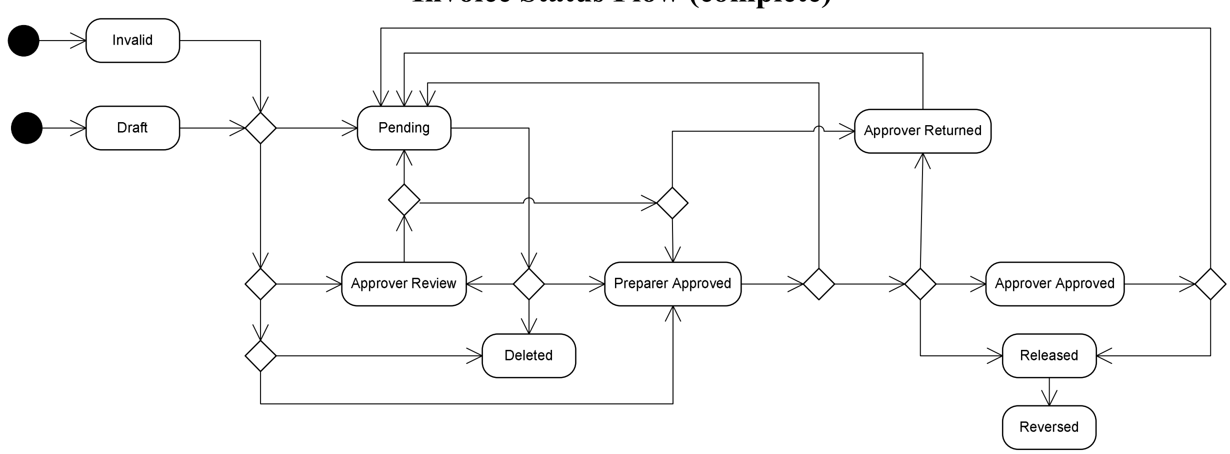
- **Released** – The nightly cycle sets a Draft Invoice to Released status when it generates the Final Invoice that gets sent to the Plan Sponsor. A Released invoice can be Reversed.
- **Deleted** – This is an invoice is set to Deleted Status by a Preparer or an Approver. This is done so that the Draft invoice is not approved and sent out to the Plan Sponsor.
  This is an invoice that has not been locked-in.
  Deleted invoices can be regenerated to replace an invoice that was created for a billing period cycle.
- **Reversed** – This is an invoice that has been Released by the nightly batch process can be set to Reversed Status. The Process to reverse the charges is manual. BaRT will just record that a specific invoice had been reversed. Only a System administrator can reverse an invoice. This is an invoice that has been locked-in.
- **Invalid** – The plan or the invoice has an error condition that must be resolved before it can be released.

Invoice State Flow

With the exception of the Deleted and Reversed states, each of these invoice states can pass from one state to another, according to user activity and decisions made.

The Invoice Status Flow diagram shows how an invoice status can change from one to the next, as it is being worked on. For example, a Draft or Invalid invoice can change to Pending, Approver Review, Deleted or Preparer Approved. Once an invoice is Released, it may only change to Reversed.

Invoice Status Flow (complete)



Special Invoices

- **First** Invoice – The effective date of the contract from PACE.
- **Final** Invoice – When a contract status is changed from Pending/Active to Terminated, the next invoice to be automatically generated is set to Final.
    - In order for a contract to be terminated, all fees must be paid.
    - A final invoice must state in a comment field that it is the final invoice.
- **Ad-Hoc** Invoice – Reasons for creating an ad-hoc invoice:
    - Invoice must be created while in New Business
    - Charging for additional services
    - Traditional or DB: non-annual or interim charges
    - Can't wait for next cycle
    - Final invoices that need to be prepared immediately.

Routine vs. Non-Routine Invoices

A Routine invoice is a "simple" invoice which does not require approver approval in order to be released. Routine invoices can be mass-approved using the select list checkboxes.

A Draft *routine* invoice may be approved by a preparer, either individually or in bulk quantities. A preparer-approved invoice is automatically queued for the nightly Generate Final Invoice process.

A non-routine invoice contains changes or additions to the following areas:

- Additional services hourly
    - Any Tenrox hours entered for the plan within the period the invoice is created.
    - Any Additional Services quotes entered within the period the invoice is created
- Additional Services Flat
- Terminated invoice
- Ad-hoc invoice
- Waived fees
- First invoice
- External Comments
- Misc. Credits
- "Do not use deduct routine" flag is set to yes
- "Staging value" is changed.

When the nightly process creates draft invoices, they may be routine or non-routine. For example, if a plan has waived fees set in PACE when the invoice is created and set to Draft status, the invoice will show up as non-routine.

A *non-routine* invoice must be Approver-approved in order to be automatically queued for the nightly Generate Final Invoice process.

Nightly Process – Generate Final Invoices	This nightly process generates **Final** invoices automatically; it is run every night. It processes all **Approver Approved** invoices, performs final billing calculations, and feeds the data to the accounting systems. When completed, it changes the status of these invoices to **Released**.
Nightly Process – Print and Distribute Invoice	This second nightly process creates printed copies for mailing to the plan sponsors, and electronic copies for online viewing.

Additional Services (AS)

Overview

Special fees and ad-hoc services are recorded in the Additional Services tables. Additional Services can be charged on a flat-rate or hourly basis.

Flat-rate Additional Services

Analysts can record items in the Flat-rate Additional Services table throughout the billing period, and can enter items for future billing cycles. This section includes a drop down of special services that are charged for on a flat-rate basis. Many DB activities are billed for in this manner, and the drop down list is customized for DC, DB, Trad and H&W contracts.

Flat-Rate categories

Additional Services Flat-Rate fees are assigned category codes for accounting and invoicing purposes. Each AS Flat-rate fee has an Invoicing Category Code that may or may not be editable, depending on the fee. BaRT supports viewing the list of fees by this code on the AS Flat-rate page. The codes are:

- Plan – will display the AS Flat-rate fee in the Plan Fees section of the Printed invoice.
- Participant – will display the AS Flat-rate fee in the Participant Fees section of the Printed invoice.
- Asset – will display the AS Flat-rate fee in the Asset Fees section of the Printed invoice.
- Additional Services – will display the AS Flat-rate fee in the Additional Fees section of the Printed invoice.
- Tax – will display the AS Flat-rate fee in the Tax Fees section of the Printed invoice.

Entry to the Flat-Rate Additional Services table falls into two main categories:

- Rate is Stored in PACE – Event is entered in Additional Services
- Event and Rate are both entered in Additional Services (Recurring and Ad-hoc)

Rate is Stored in PACE – Event is entered in Additional Services

The majority of fees stored in the PACE fee table can be calculated at the end of a billing period using a combination of the fee rate and data pulled from various RP systems. However, there are a handful of fees for which the rate is known, but the "service event" or "count" cannot be captured elsewhere. For these items, the fee rate is stored in the detailed fee schedule for the contract, but the event and/or count is recorded in the Additional Services screen within BaRT *when/if* the service is provided. An example is Reallocation of Forfeitures. Although the applicable fee rates are stored in the PACE fee schedule, the analyst must record that the reallocation was completed, and the number of participants that were involved. BaRT then applies this event information to the fee rates to calculate the invoice amounts.

Event and Rate are both entered in Additional Services (Recurring and Ad-hoc)
Some flat-rate charges are recurring, or pre-defined, but there is not a pre-set rate. An example for a DC contract is Enrollment services being charged to the client, as well as termination charges. DB examples include services such as Asset/Liability Studies, FAS 87 work, or Benefit Calculations. The common items that fall into this category are part of the flat-rate drop down menu for the contract type. The user selects the fee type from the menu and enters the appropriate amount for invoicing. BaRT also accommodates the entry of ad-hoc flat-rate services with a free-form entry line. Ad-hoc items require entry of a description and the collection method (B/D).

Business Rules

- Any charges in the Additional Services Flat-Rate or Hourly Charges section automatically set the invoice to non-routine, which requires a team leader approval.
- Users can select a category more than once during a quarter. For example, reallocation of forfeitures might be performed twice, with two different dates and participant counts.
- The plan installation, contract termination, deferred installation fee, Market Value Adjustment (MVA), and withdrawal charge categories should only be selected once in the life of a contract, and only on a "final bill". There is not a BaRT validation for this as originally specified – it is up to the user to review that final fees have not been charged in multiple quarters.
- Amendments are a type of an Additional Service, but it is input in a separate screen that is only accessible by the Legal department.
- Additional services can be entered for any unreleased invoice, the current billing cycle, and for one future cycle. In order to enter information for more than one cycle in advance, add the AS item but *do not* set the billing period. The additional service will remain in the table and a valid billing cycle can be assigned as the cycle becomes available.
- For termination charges, we only provide detailed calculations upon request. This is not part of the invoice disclosure.
- When the first bill for a contract is created, BaRT picks up all unbilled additional services from the contract effective date forward. For first bill, BaRT also picks up all sponsor paid event fee counts since the contract effective date. All other fees are billed for one billing cycle's amount (not pro-rated).
- There are certain Additional Services charges that fall under ERISA rules and cannot be deducted from participant accounts. These are indicated on

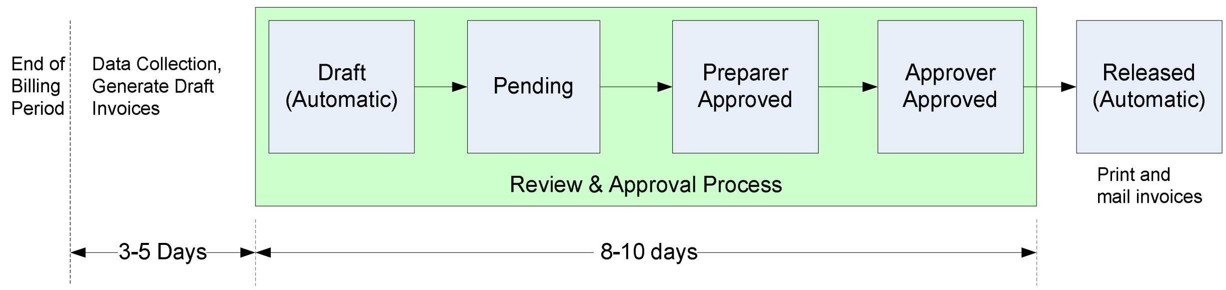
the attached matrix and the “deduct” option is not available.

See the Automated Invoicing Screen detail (PACE Procedures Manual) for a complete explanation of how the additional services are pulled in for a "first invoice".

For detailed information on additional services handling, see the “Additional Services List and Business Rules Guidelines” spreadsheet.

Invoice Generation and Release – Overview

Typical Invoice Status Flow (simplified)



End of Billing Cycle Activities

1. Automated deductions for LD and TD fees run on 1st business day
2. Generate pre-validation report
    a. Review and update PACE to validate contract and release draft invoice
3. Draft invoices created on 5th business day
4. Review and update draft invoice information
    a. Change source data (PACE rates), if necessary, and refresh data for BaRT.
    b. Update participant counts, if necessary
    c. Additional services – flat. Enter services performed during cycle
    d. Additional services – hourly.
        i. Set up quotes, if needed
        ii. Allocate hours to quotes, as appropriate
        iii. Add hours not in Tenrox, as necessary
    e. Approve invoices
    f. Perform manual deducts for contracts that are excluded from auto-deduct
    g. Monitor "status" report to ensure all invoices are released
    h. Continue to review and update PACE for contracts on pre-validation report

Generate Final Invoice Process

The nightly process that gets approved invoices and performs the final billing calculations and prepares the data to be printed and fed to the accounting systems.

Print & Distribute Invoice Process

A nightly process that feeds final invoice information to accounting, prints the invoice to be sent to the Plan sponsor, and generates a copy of the invoice to be stored electronically for later reference.

On-Going Billing Cycle Activities

1. Amendments entered to PACE screen
2. Enter flat-rate additional services as completed
3. Enter quotes to hourly additional services table if applicable
4. Enter Tenrox hours using billable work types where applicable

Fee Follow-Up and Oversight Activities – Ongoing

1. Monitor AR and aging report on a weekly basis
2. Follow procedure for “non-payment” collection
3. Release dunning emails and letters as appropriate

Miscellaneous

Overview

Credits are applied against the contract fees. These include contribution credits, forfeitures and advanced contributions used to pay fees, as well as concessions and custody offsets.

PACE Fees

PACE fees are automatically calculated and entered into invoices, based on PACE plan data. However, corrections and updates can be made from an invoice level in BaRT. These are called Staged Values.

Contribution Credits

When concession offsets and contribution credits exceed the assessed fee for the billing cycle, the offset table tracks unused offsets and applies them to the next billing cycle.

Legal Services

All invoiced legal fees are entered and managed only by the Legal department.

Procedures

Quick Reference

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Deleting an Invoice 36
Reversing an Invoice...37
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Entering Quotes and Hourly Fees 40
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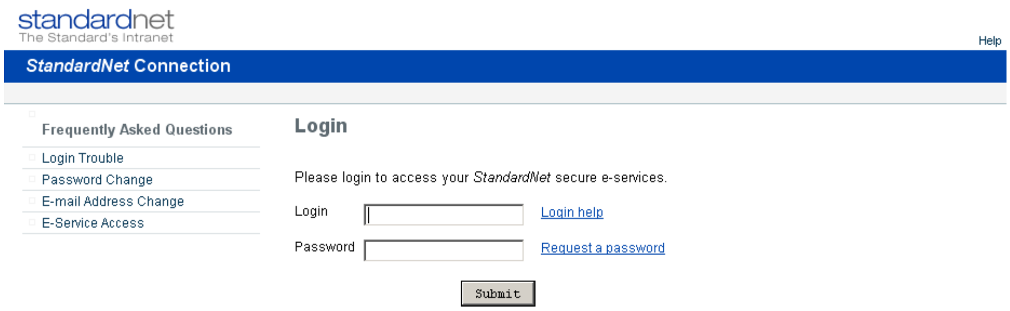
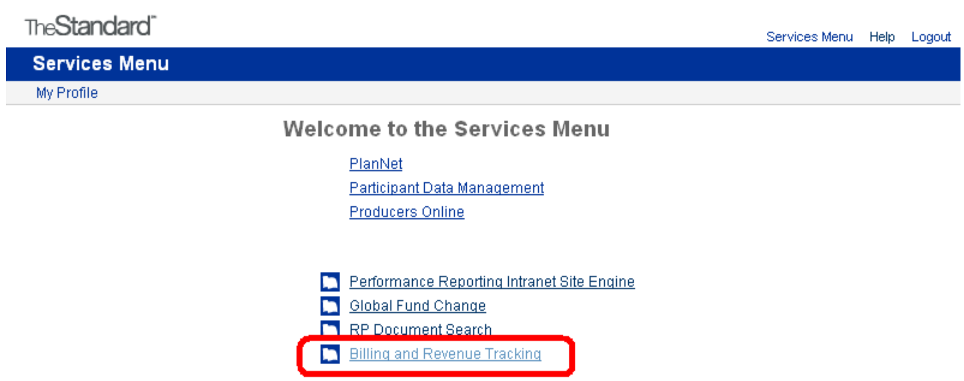
BaRT Login

Procedure

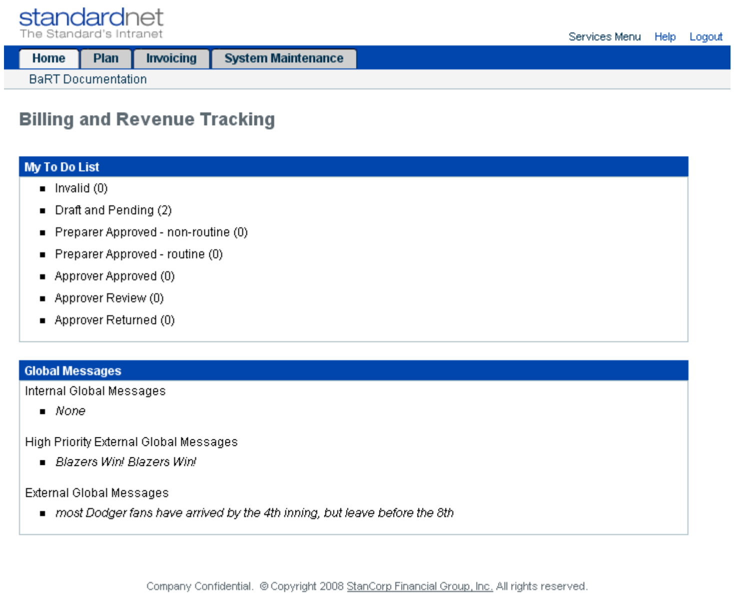
1. Using your web browser, go to the StandardNet Connection login page at **https://mdlconnect.standard.com**



2. At the Login screen, enter your username and password, then click the **Submit** button.
   The **Services Menu** appears.



3. Select **Billing and Revenue Tracking**.
   The **Billing and Revenue Tracking** Home page appears.



This screen has two parts:

- **My To-Do List** – This list shows the stats of your current plans, and the approval status of each.
- **Global Messages** – These messages are maintained by system administrators. These messages are visible to all BaRT users. For further information, see “**Error! Reference source not found.**” on page **Error! Bookmark not defined.**.
  - **Internal Global Messages**: These are messages which are created and maintained by BaRT system administrators, and are visible to all BaRT user interface users.
  - **High Priority External Global Messages**: These are messages which appear at the top of all invoices, unless overridden.
  - **External Global Messages**: These are messages which appear at the bottom of all invoices, unless overridden.

To change messages, see “**Error! Reference source not found.**” on page **Error! Bookmark not defined.**, and “**Error! Reference source not found.**” on page **Error! Bookmark not defined.**.

From here you can:

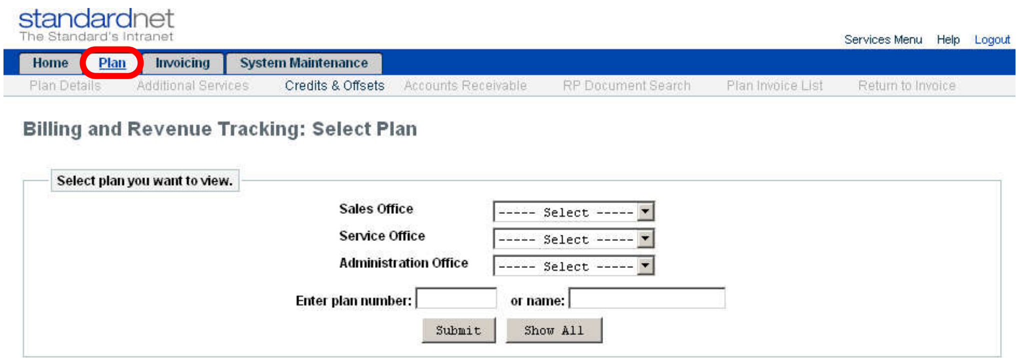
- Review your to-do list of invoices that may need your attention.
- View global messages.
  See “**Error! Reference source not found.**” on page **Error! Bookmark not defined.**.
- Find a plan.
  See “Finding a Plan” on page 21.
- Find an Invoice.
  See “Finding an Invoice” on page 25.

Finding a Plan

Overview

1. Click on the **Plan** menu.

   The **Select Plan** screen appears.

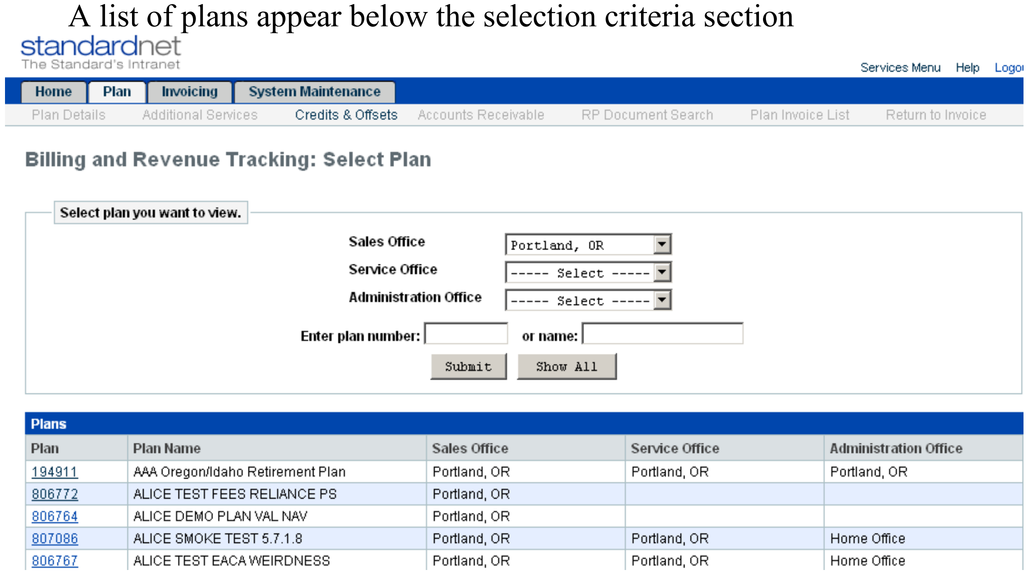


   NOTE: Sub-menus under the Plan tab are disabled until a plan number is selected

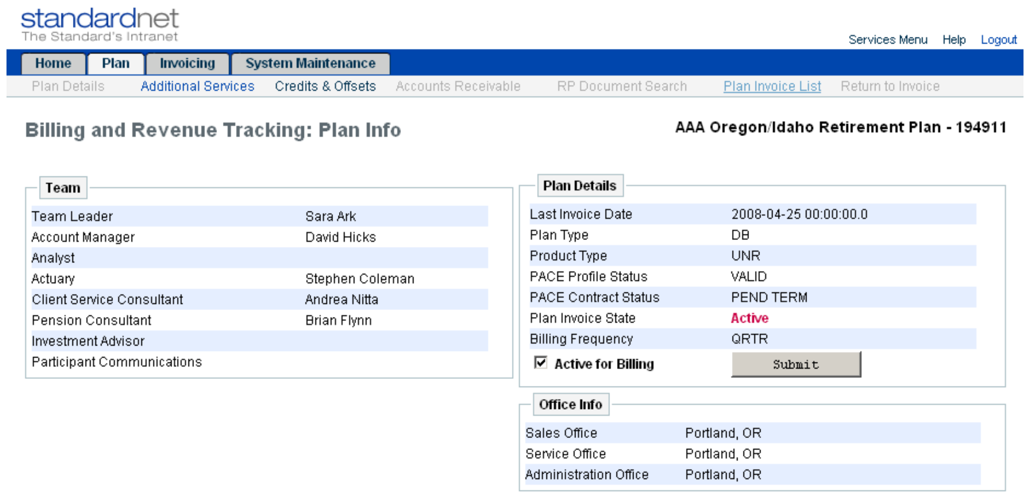
2. Enter selection criteria from any of the three drop-down controls.

3. Click the **Submit** button.

   A list of plans appear below the selection criteria section

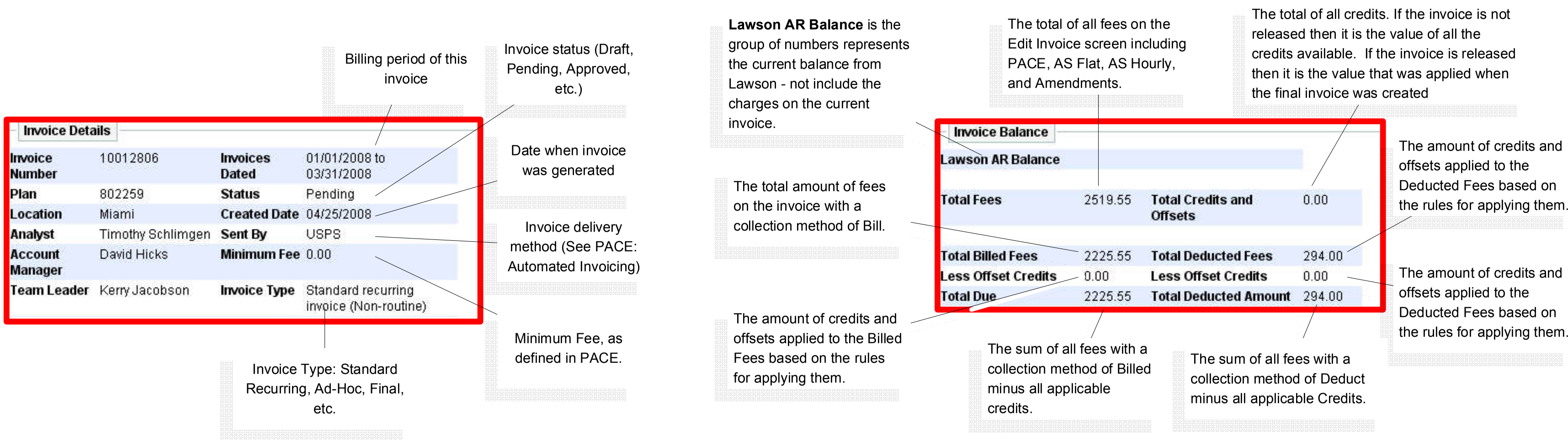


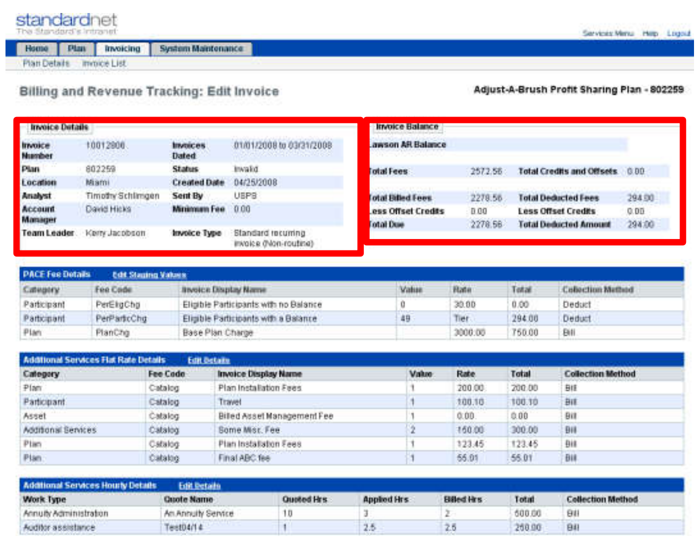
4. Click on a **Plan Number** in the left column.
   The **Plan Details** screen appears.



From here you can perform the following tasks:

- Change the Active for Billing flag.
  See "Changing the Active for Billing Flag" on page 24.
- View a list of invoices for this plan.
  See "Finding an Invoice" on page 25.
- View and update hourly additional services.
  See "Entering Quotes and Hourly Fees" on page 40.
- View and update flat rate additional services.
  See "Entering Flat-Rate Additional Services" on page 38.
- Review plan offsets.
  See "**Error! Reference source not found.**" on page **Error! Bookmark not defined.**.


Invoice Details
Invoice Number 10012806
Plan 802259
Location Miami
Analyst Timothy Schlimgen
Account Manager David Hicks
Team Leader Kerry Jacobson
Invoices Dated 01/01/2008 to 03/31/2008
Status Pending
Created Date 04/25/2008
Sent By USPS
Minimum Fee 0.00
Invoice Type Standard recurring invoice (Non-routine)
Billing period of this invoice
Invoice status (Draft, Pending, Approved, etc.)
Date when invoice was generated
Invoice delivery method (See PACE: Automated Invoicing)
Minimum Fee, as defined in PACE.
Invoice Type: Standard Recurring, Ad-Hoc, Final, etc.
Lawson AR Balance is the group of numbers represents the current balance from Lawson - not include the charges on the current invoice.
The total amount of fees on the invoice with a collection method of Bill.
The amount of credits and offsets applied to the Billed Fees based on the rules for applying them.
The total of all fees on the Edit Invoice screen including PACE, AS Flat, AS Hourly, and Amendments.
The total of all credits. If the invoice is not released then it is the value of all the credits available. If the invoice is released then it is the value that was applied when the final invoice was created
Invoice Balance
Lawson AR Balance
Total Fees 2519.55
Total Credits and Offsets 0.00
Total Billed Fees 2225.55
Less Offset Credits 0.00
Total Due 2225.55
Total Deducted Fees 294.00
Less Offset Credits 0.00
Total Deducted Amount 294.00
The amount of credits and offsets applied to the Deducted Fees based on the rules for applying them.
The amount of credits and offsets applied to the Deducted Fees based on the rules for applying them.
The sum of all fees with a collection method of Billed minus all applicable credits.
The sum of all fees with a collection method of Deduct minus all applicable Credits.


standardnet
Billing and Revenue Tracking: Edit Invoice
Adjust-A-Brush Profit Sharing Plan - 802259

Changing the Active for Billing Flag

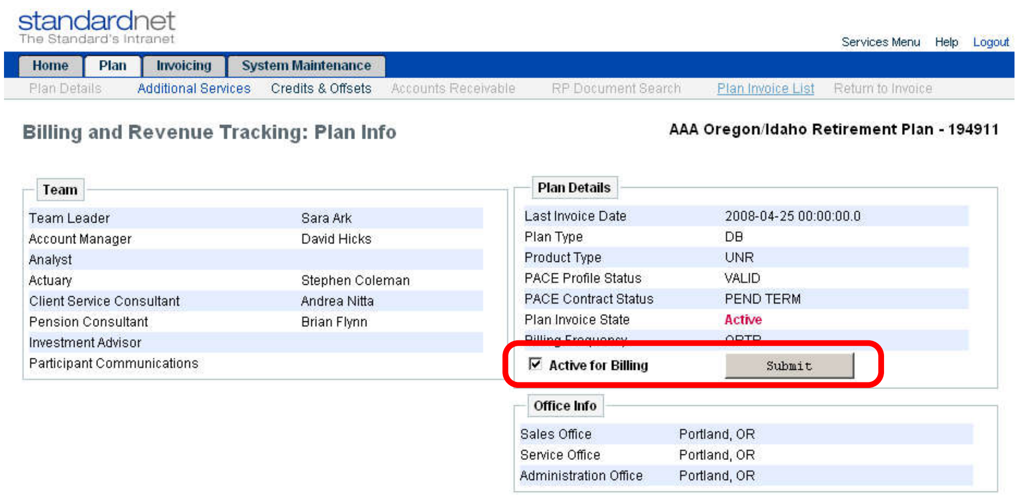
Overview

BaRT lets you specify whether or not the plan will be processed in the regular nightly billing cycle. This process calculates and generates a draft invoice at the end of each billing period. If this flag is not set, no automatic invoices will be generated for this plan.

See the **Fee Invoicing Setup** document for complete details.

Procedure

1. Find the plan that requires an update to this flag.
   Refer to "Finding a Plan" on page 21.



   The **Plan Invoice State** indicates whether or not Active for Billing is enabled.

2. Locate the **Active for Billing** flag.
3. To change this flag, click the checkbox, then click the **Submit** button.
4. Verify that the **Plan Invoice State** has changed to reflect the correct status.

Finding an Invoice

Overview

There are several ways to find invoices. This section shows you how to use the **Select Invoice** screen.

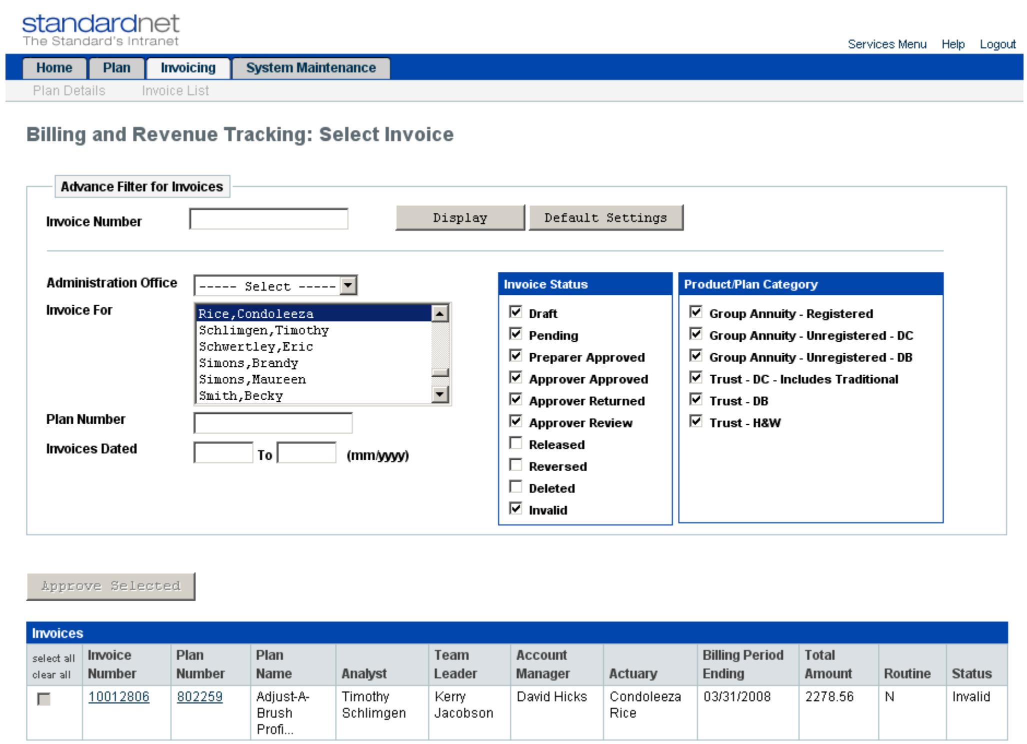
The Invoicing section of BaRT lets you prepare and approve draft invoices and to create ad-hoc invoices such as Final invoices. This will include all draft invoices regardless of how they were generated (ad-hoc, Billing Period cycle, Final, etc.).

The Invoices Tab provides the ability to search and sort through invoices, and provides detail on any single invoice or group of invoices.

Browsing Your Invoice List

1. Click on the **Invoicing** menu.

   The **Select Invoice** screen appears.



2. By default, BaRT also returns a list of plans assigned to you which have a status of Draft, Pending, Preparer Approved, Approver Approved, Approver Returned, Approver Review or Invalid.

Browsing for More Invoices

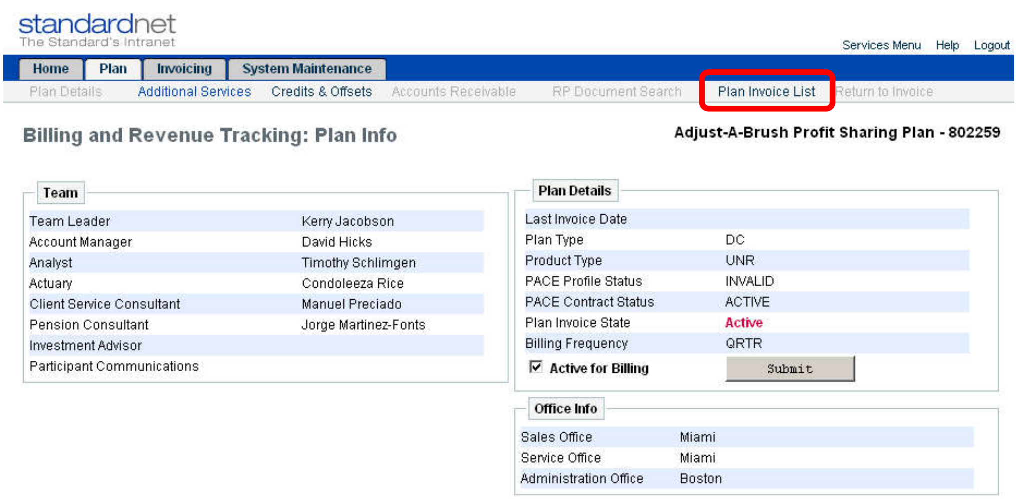
Click on an invoice number to display the invoice details, or

Use the following steps to find additional invoices:

1. Use any of these search criteria methods:
    - Search by **Invoice Number**. If you know the invoice number, enter at least the first four digits.
      NOTE: Do not use the "*" wildcard symbol.
    - Search by **Administration Office**. Select from the Administration Office drop-down menu.
    - Search by owner assignment. Select from the **Invoice for** drop-down list.
    - Search by **Plan Number**. If you know the plan number, enter at least the first two letters of the name.
      NOTE: Do not use the "*" wildcard symbol.
    - Search by **Invoice Dates**. Enter a date range in the two date fields shown.
2. Narrow the list further by selecting only the desired **Invoice Status** and/or **Product Plan Category**.
3. Click **Display** to start the search.
4. BaRT displays the search results on the bottom half of the search screen. Up to 500 results may be returned from your search criteria.
5. Click on an invoice number to display the invoice details.

Browsing a Plan's Invoices

1. From the **Select Invoice** screen, click on a **Plan Number** from the invoice list.
2. The **Plan Info** screen appears.



3. Click on **Plan Invoice List** from the menu.
4. The **Select Invoice** screen appears, this time with a list of invoices for that plan.

Sorting the List

To sort the invoice detail list according to a specific detail, click on a column heading. The sort icon ▲▼ will indicate which direction the sort is being presented.

The list is sorted initially on the invoice detail, and then by column heading.

Creating a First Invoice

Overview

A first invoice occurs when a new plan is ready for the first time.

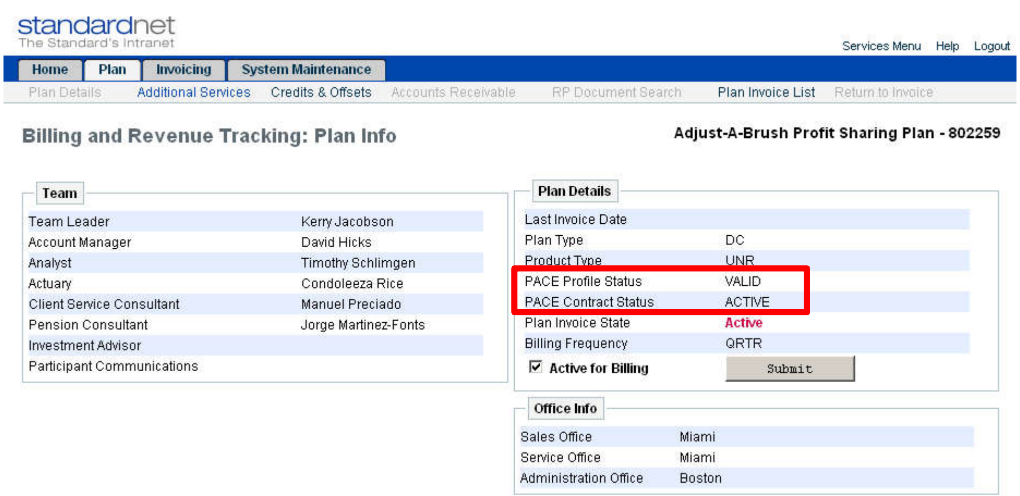
Several conditions must be met outside of BaRT for the first invoice to be automatically processed:

- Funds must exist for the plan
  (Go to PACE: Funds → Fund maintenance)
- The plan status must be “Active”, “Pending Term” or “Unsigned”.
  (Go to PACE: Plan Info-1 → Contract Details)
- The invoice status must be “Ready for First Invoice” or “Active”
  (Go to PACE: Plan Info-2 → Automatic Invoicing)

Procedure

1. Ensure the required settings in PACE have been entered. (See above.)
2. Go to the “Plan Details” section of the Plan Info screen and verify the following settings.
   a. PACE Profile Status = **VALID**
      NOTE: If the Profile status is INVALID, BaRT will still generate a draft invoice, but will not generate a released invoice.
   b. Plan Contract Status = **ACTIVE**

   If you do not see “VALID” and “ACTIVE”, you will not be able to generate the first invoice. The problem must be addressed in PACE. (Go to PACE: select File → Validate Plan, and inspect for error messages.)



3. On the **Plan Details** screen, select the **Active for Billing** checkbox, and click **Submit**. (See “Changing the Active for Billing Flag” on page 24.)

4. Verify that the **Plan Invoice State** changes from “Inactive” to “Active”.

The first draft invoice will be generated at the end of the current billing period, during the nightly processing cycle.

Before, During, After First Invoice

If a contract is marked as “Ready for First Invoice”, but no average daily asset balance exists for the period, no invoice will be created, and the status flag will remain as “Ready for First Invoice”.

When the first invoice is calculated, BaRT goes back to the effective date of the contract and pulls in all plan-paid event fees and all additional services from the effective date through the end of the current billing cycle. Other fees (those from the fee detail pages) are *not* pro-rated for the first bill – only one billing cycle amount is charged. Asset fees are calculated by using the average daily balance from the period that is being billed for.

After the first invoice is approved and released, the “Ready for First Invoice” flag is turned off, and the “Active for Billing” flag is turned on.

Creating an Ad-Hoc or Final Invoice

Overview

An “Ad-Hoc” invoice is a manually-generated invoice that is produced for specific uses, such as for plans that are not ready for automated billing (e.g., new business), or for final invoicing.

An ad-hoc invoice cannot be created if there is an unreleased invoice in the system. In order to produce an ad-hoc invoice, the unreleased invoice must be either “locked for release” through the automated process, or deleted (see “Deleting an Invoice” on page 36).

Ad-hoc invoices have the following characteristics:

- The invoice is non-routine.
- The invoice status is “INVALID”.
- PACE fees are excluded. The “Edit Staging Values” link is disabled.
- Hourly fees are excluded. The “Edit Details” link is disabled.
- Amendments are excluded.
- The printed invoice will not have a “Billing Period” field, since it is not intended to cover any particular billing period. When used as a final invoice, “Final Invoice” is displayed here.

A PACE fee or hourly fee must be added as flat, free-form fee.

When an ad-hoc invoice is released, two settings in PACE are modified (Refer to PACE Procedures: “Automated Invoicing” section):

- The “Final Invoice” date is set.
- The “Final Invoice” flag remains checked, but is disabled.
- Loan Deduct/Terminated Deduct (LD/TD) calculations are not automatically performed. This must be done manually.

A final invoice is the last invoice to be automatically prepared by the automated processes. This is usually the case when a plan is being terminated.

Procedure

1. Set the Contract Status to “PENDING TERM”
   (Go to PACE: Plan Info-1 → Contract Details.)
2. *Final invoices only*: Set the “Final Invoice” flag.
   (Go to PACE: Plan Info-2 → Automated Invoicing)
3. *Final invoices only*: Use the Additional Services – Flat Rate screen to add any final fees to the invoice – such as withdrawal charges, deferred installation charges, and MVA charges for GA contracts. (See “Entering

Flat-Rate Additional Services" on page 38. Hourly fees must be manually calculated and added as a flat rate. Use Service Name "Free Form Box".

4. Process the invoice as you would any other invoice.

Notes on Final Invoices:

- The invoice Billing Period field will indicate "Final Invoice" in the "Invoice Details" section of the Edit Invoice screen, and on the printed invoice.
- Once the final invoice is released, the "Active in Billing" flag is set to "Inactive", and no further automatic invoices will be created.

Reviewing an Invoice

Overview

The nightly automated process is responsible for producing draft invoices on the 5th day following the close of each billing period. The reviewing process typically begins when the drafts have been created. The purpose of the review is to ensure that invoices are created accurately, to identify changes that need to be made, and to approve for release.

The BaRT user interface is designed for reviewing, updating and approving invoices.

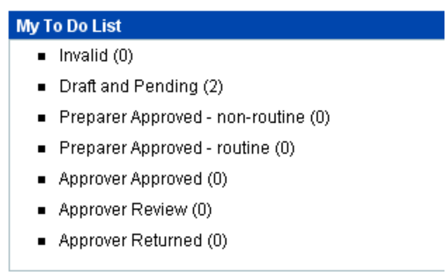
A *draft* invoice is generated for a plan when any of these PACE flags are set (see PACE procedures manual: “Automatic Invoicing”):

- Ready for First Invoice
- Active in Billing flag
- Final Automated Invoice (no final invoice date set)

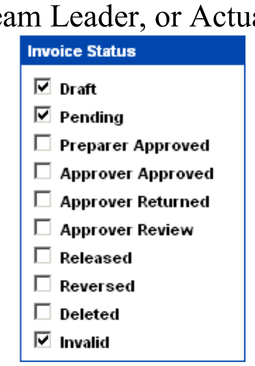
NOTE: In order for an invoice to be processed by the Generate Final Invoice process, it must be set to approved, *and* the Plan “Profile Status” must be VALID in PACE. (Go to PACE: File → Show Validation Messages.)

Procedure

1. Log-in to BaRT, or click on the **Home** tab.
2. Review **My To-Do List** to determine how many invoices need review and approval.



3. Click on the **Invoicing** tab. The Select Invoice screen appears.
4. By default, BaRT displays all of the invoices where your login name appears as Analyst, Account Manager, Team Leader, or Actuary.
5. Set your invoice search criteria to search for “Draft”, “Pending” and “Invalid”.
   - An Approver should also select “Preparer Approved” and “Approver Review”.
   - An Approver can identify which invoices are being edited in the team by selecting “Pending”.



6. Review these areas of the invoice:
    a. PACE Fees
    b. PACE Counts and Values
    c. Additional Services – Flat Rate details
    d. Additional Services – Hourly details
    e. Legal Services details (Amendments & Restatements)
    NOTE: Only the Legal department may make changes in this section of the invoice.
    f. Offset Details
    g. Global Messages
    NOTE: Only a BaRT system administrator may make changes in this section of the invoice. However any BaRT user may suppress global messages for any invoice.
    h. External and Internal Comments
    NOTE: Internal Comments are not printed in the released invoice.

If the invoice is ready for approval, go to “Approving an Invoice” on page 35.

Making Changes to an Invoice

An invoice may be modified only if its state is “Draft”, “Pending” or “Invalid” state.

- All new invoices generated by the nightly automated process are in “Draft” or “Invalid” state.
- When any changes are saved, the invoice state becomes (or remains) “Pending”.

For a conceptual overview, see “Invoice Status” on page 7.

Overview

This section shows you how to:

- View **plan details**. Most of this information comes from PACE.
- Manage **Additional Services** – **Hourly**, **Flat Rate**, **Credits**. View, search and filter, edit, add and delete Additional Services for plans.
- Manage **Legal Services** details and fees.
- Manage **Offset** details and fees.
- View or suppress **Global Messages**.
- Manage text **Comments**.

NOTE: This link is not available if the invoice is set to “Locked For Release”.

Billing and Revenue Tracking: Edit Invoice

Adjust-A-Brush Profit Sharing Plan - 80225

Invoice Details

Invoice Number	10012509	**Invoices Dated**	10/01/2007 to 12/31/2007
Plan	802259	**Status**	Pending
Location	Miami	**Created Date**	03/17/2008
Analyst	Timothy Schlimgen	**Sent By**	USPS
Account Manager	David Hicks	**Minimum Fee**	0.00
Team Leader	Kerry Jacobson	**Invoice Type**	Standard recurring invoice (Non-routine)

Next from List ▶

Invoice Balance

Lawson AR Balance

Total Fees	0.00	**Total Credits and Offsets**	0.00
Total Billed Fees	0.00	**Total Deducted Fees**	0.00
Less Offset Credits	0.00	**Less Offset Credits**	0.00
Total Due	0.00	**Total Deducted Amount**	0.00

PACE Fee Details Edit Staging Values

Category	Fee Code	Invoice Display Name	Value	Rate	Total	Collection Method
Participant	PerEligChg	Per Eligible	0	0.00	0.00	Waived
Participant	PerEligChg	Per Eligible - Waived	0	0.00	0.00	Waived
Participant	PerParticChg	Per Participants	23	Tier	0.00	Waived
Participant	PerParticChg	Per Participants - Waived	23	Tier	0.00	Waived
Plan	PlanChg	Plan Charge		0.00	0.00	Waived
Plan	PlanChg	Plan Charge - Waived		0.00	0.00	Waived

Additional Services Flat Rate Details Edit Details

Category	Fee Code	Invoice Display Name	Value	Rate	Total	Collection Method
Asset	Catalog	Billed Asset Management Fee	1	0.00	0.00	Bill
Asset	Catalog	Enrollment Services	1	1.00	1.00	Bill

Legal Services Details

Category	Description	Charge

Offset Details Edit Details Offset Details

Offset Type	Invoice Display Name	Original Credit Amount	Total
Unallocated Deposits	Unallocated Deposits	0.00	883.45
Forfeiture Account	Forfeiture Account	0.00	2833.86

Global Messages

☐ **Suppress Global and Product Messages**

Global Message (High Priority) the only thing better than a Blazer win is... * * * Blazers Win! Blazers Win!

Product Message (High Priority) for Group Annuity - Registered

Global Message (Low Priority) ... a corresponding Laker loss * * * most Dodger fans have arrived by the 4th inning, but leave before the 8th

Product Message (Low Priority) for Group Annuity - Registered

External Comments (High Priority)

sssssssssss

External Comments (Low Priority)

Internal Comments ☐ **Forward to Approver**

approved 03/17/08 5:15
set to Pending and Approved as gstone
returned to Preparer as janetreno (Approver)

Save | Save and Approve | Reject | Refresh From PACE | Invoice Preview

Set To Pending | Delete Invoice | Reset

Approving an Invoice

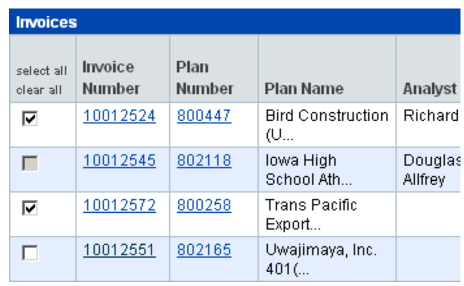
Overview

A *routine* invoice requires a single approval. A *non-routine* invoice requires two approvals: one from the preparer, and another from an approver. See "Routine vs. Non-Routine Invoices" on page 9.

Mass-Approving Routine Invoices

This feature allows a preparer to approve a group of invoices that are flagged as **Routine**, and where the invoice status is either **Draft** or **Pending**. (All other invoices have a disabled checkbox.) Non-routine invoices require additional approval by a team leader. See "Routine vs. Non-Routine Invoices" on page 9.

1. Place a checkmark next to each invoice to be approved. (Only *routine* invoices can be selected.) **Optional**: Click the **Select All** checkbox.
2. Click "**Approve Selected**". The invoice status changes to "Preparer Approved". A second approval is not required for these invoices.


Invoices

select all clear all	Invoice Number	Plan Number	Plan Name	Analyst
☑	10012524	800447	Bird Construction (U...	Richard
☐	10012545	802118	Iowa High School Ath...	Douglas Allfrey
☑	10012572	800258	Trans Pacific Export...	
☐	10012551	802165	Uwajimaya, Inc. 401(...	

Approving Non-Routine Invoices

1. From the **Edit Invoice** screen, click "**Save and Approve**". The invoice status changes to "Preparer Approved".

Approver-Approving Non-Routine Invoices

NOTE: Only invoices which have been "Preparer Approved" can be set to Approver Approved.

NOTE: Only Approvers may approve a "Preparer Approved" invoice.

1. From the **Edit Invoice** screen, click "**Save and Approve**". The invoice status changes to "Approver Approved".

Approved invoices are queued for the two-day generation & release cycle. During this period, these invoices may not be changed.

Deleting an Invoice

Overview

Reasons to delete an invoice:

- The invoice was never, and will not be approved.
- If this is the first invoice, how to move forward.
- If this is the first invoice, and you delete before.

Only non-released invoices can be deleted. Once released, an invoce can only be reversed.

NOTE: The Delete Invoice function is currently not implemented.

Procedure

1. In the **Select Plan** screen, find the invoice you want to delete. See "Finding " on page 21.
2. In the Invoice list, select the invoice number to be deleted.
3. In the **Edit Invoice** screen, scroll down to the bottom of the screen and click the **Delete Invoice** button. Click **OK** to verify the delete command.

Reversing an Invoice

Overview

Only a “Released” invoice may be “Reversed”. An unwanted invoice of any other state should be deleted, rejected or otherwise left unapproved.

NOTE: The Reverse Invoice function is currently not implemented.

Entering Flat-Rate Additional Services

Overview

This allows a fee to be available and selectable in BaRT. Some AS Flat fees need to be added to PACE before they are available in BaRT.

Also included is how to refresh PACE changes in BaRT (hint: leave the AS Flat screen entirely, and then return to it).

NOTE: Only items for which a rate exists in PACE will be available in BaRT.

Procedure

Entering Flat Rate fees is a two-step process:

1. Define a Flat Rate fee for a plan
2. Assign a Flat Rate fee to an invoice

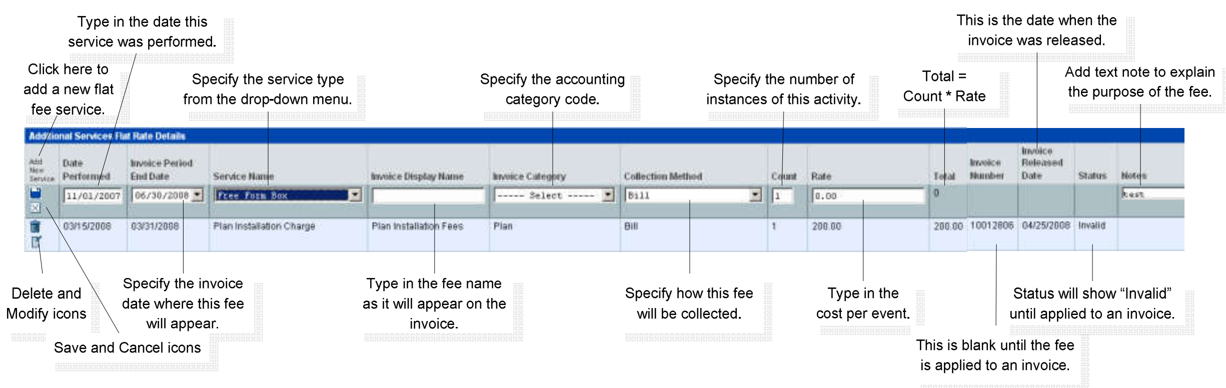
Define a Flat Rate Fee

1. Select **Flat Rate** from the **Additional Services** menu.

The **Additional Services Flat Rate Details** table appears. If there are any Flat Rate services already recorded for this plan, they will be listed here.

Add New Service	Date Performed	Invoice Period End Date	Service Name	Invoice Display Name	Invoice Category	Collection Method	Count	Rate	Total	Invoice Number	Invoice Released Date	Status	Notes
	09/30/2007	06/30/2008	Deferred Installation Charge	Deferred Installation Fee	Plan	Deduct	1	100.03	100.03				.
	09/30/2007	06/30/2008	Deferred Installation Charge	Deferred Installation Fee	Plan	Deduct	1	100.03	100.03				.
	05/01/2008	06/30/2008	Travel	Travel	Plan	Bill	1	250.03	250.03				Local client visit

2. Click the **Add New Service** link.
3. A new line is added to the Flat Rate Details table.
4. Type in the date this service was performed.
5. In the **Invoice Period End Date field**, Specify the invoice date where this fee will appear.
6. Select a service name from the **Service Name** drop-down menu.
7. Select an invoice category from the **Invoice Category** drop-down menu.
8. Select a billing method from the **Collection Method** drop-down menu.
9. If this fee requires a count, enter the number of instances in the **Count** field.
10. Type in the cost per event in the **Rate** field.
11. Type in a note in the Note field to explain or clarify the purpose of the fee.
12. When completed, click the **Save** icon.



Entering Quotes and Hourly Fees

Overview

Creating hourly fees is a two-step process:

1. Add a Quote. This is the quoted or estimated number of hours budgeted for a given type of hourly work.
2. Specify Hours Charged to the Quote. When time is spent in regard to a contract, the hours logged in Tenrox must be carried over into BaRT.

Hourly Details contains a list of Tenrox work hours that are quoted for the plan, and the work hours applied and billed in this invoice.

NOTE: This link is available if the invoice status is set to Draft, Pending or Invalid.

Add a Quote

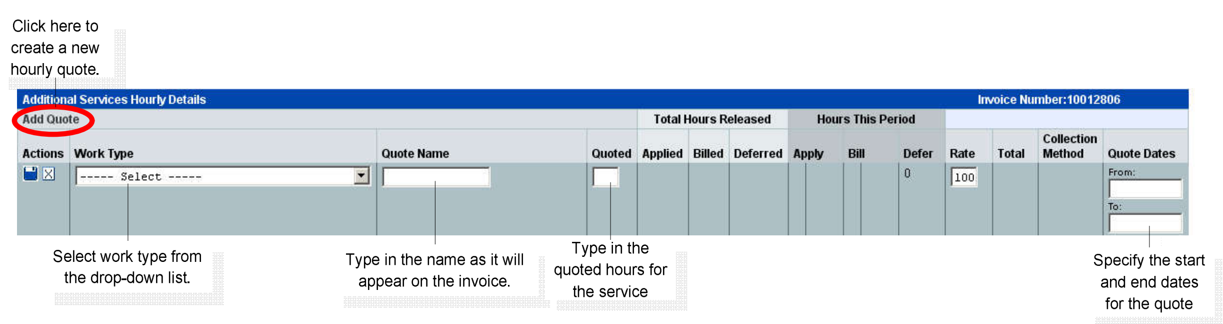
1. From the **Edit Invoice** screen, click the **Edit Details** link in the **Additional Services Hourly Details** table.

Additional Services Hourly Details	Edit Details					
Work Type	**Quote Name**	**Quoted Hrs**	**Applied Hrs**	**Billed Hrs**	**Total**	**Collection Method**
Annuity Administration	An Annuity Service	10	0	0	0.00	Bill
Auditor assistance	Test04/14	1	0	0	0.00	Bill

2. The **Additional Services – Hourly** screen appears.

Additional Services Hourly Details											Invoice Number:10012806		
Add Quote				Total Hours Released			Hours This Period						
Actions	**Work Type**	**Quote Name**	**Quoted**	**Applied**	**Billed**	**Deferred**	**Apply**	**Bill**	**Defer**	**Rate**	**Total**	**Collection Method**	**Quote Dates**
	Annuity Administration	An Annuity Service	10	0	0		3	2	1	250.00	500	Bill	
	Auditor assistance	Test04/14	1	0	0		0	0	0	100.00	0	Bill	

3. Click the **Add Quote** link. A new hourly quote line appears in the Hourly Details list.



4. Specify **Work Type** from the drop-down list.
5. Type in the **Quote Name**. This is the text that will appear as the heading for this Additional Service.
6. Specify the **Quoted** hours.

7. Specify the hourly **Rate**.
8. Specify the **Collection Method** as either Bill or Deduct.
9. Specify the date range in the **Quote Dates** fields. Be sure to use the *mm/dd/yyyy* date format.
10. When completed, click the **Save** icon.
11. The Hourly Details list will show the information you entered, plus the total dollar amount.

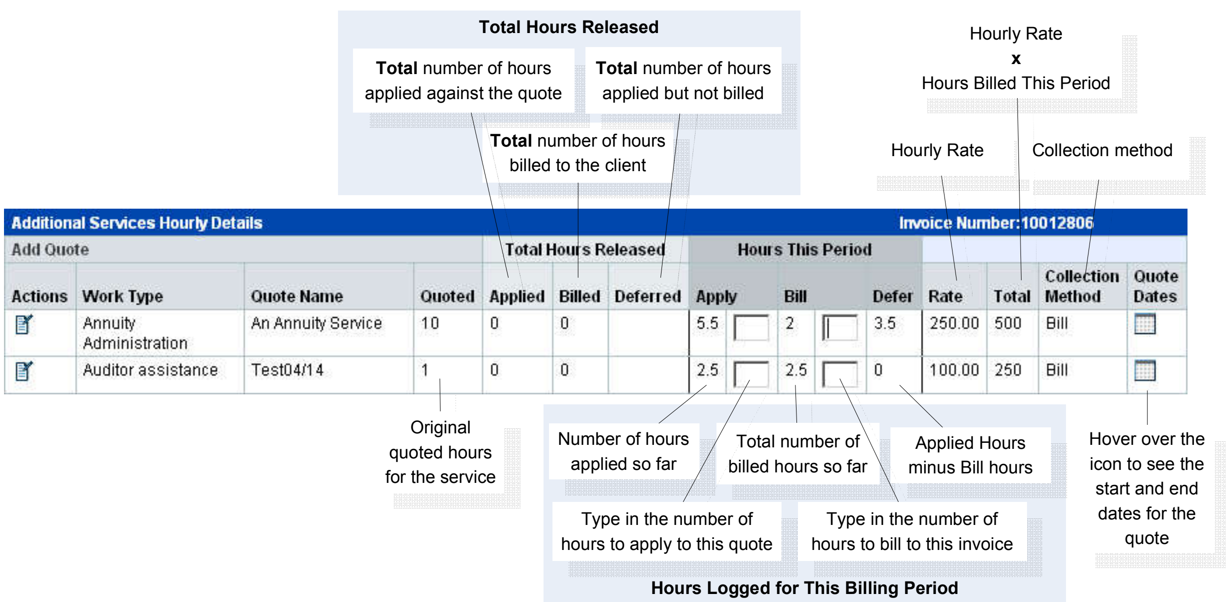
Specify Hours Charged to the Quote

To edit an hourly service fee, follow these steps:

1. From the **Edit Invoice** screen, click the **Edit Details** link in the **Additional Services Hourly Details** table.

Additional Services Hourly Details	Edit Details					
Work Type	Quote Name	Quoted Hrs	Applied Hrs	Billed Hrs	Total	Collection Method
Annuity Administration	An Annuity Service	10	0	0	0.00	Bill
Auditor assistance	Test04/14	1	0	0	0.00	Bill

2. Find the **Work Type** that corresponds to the hours you intend to enter.



3. Make the necessary changes in the **Hours This Period** area of the table.
   a. Add hours to Apply to the quote.
   b. Add the hours you wish to Bill for to the Quote.
   * Deferred hours are the difference between the hours being applied to the quote and the hours being billed for the quote.
4. When finished, click the **Save** icon.

Glossary

Term	Definition
CUSIP	**Committee on Uniform Security Identification Procedures**. A 9-character alphanumeric security identifier for all North American securities for clearing and settling of trades.
Ad-Hoc	An invoice type which is requested when a bill for a service needs to be created outside the regular billing cycle, or to reverse a previous invoice.
Event Tracking / Workflow	Mines WEB transactions and monitors their passage through to OmniPlus. Closely tied to Billing System and Tenrox timekeeping system.
FAR	**Financial Activity Reports.** Quarterly financial report that summarizes plan activity. Generated in Omni but displayed on WEB and stored in .pdf form on LAN.
GA	**Group Annuity** product.
GLAD	**General Ledger Accounting Detail Reports.** Nightly generated audit reports that confirm that Lawson and QASH are in balance.
IBAS	**Investment Business Administration System**. Used for client billing, time tracking, plan and contract information, event tracking.
Lawson	Corporate General Ledger.
LD/TD	**Loan Deduct / Terminated Deduct**. **LD** – The sponsor has the option to charge loan fees as an "event" fee (taken at time of event) or as a quarterly maintenance amount (charged per quarter). LD is the code used for the quarterly maintenance option if it is to be deducted from participants; it is deducted from participants at the end of the billing period. **TD** is the code used to show that the plan sponsor pays the participant fee for active members, but not for terminated participants. Before billing the plan, we deduct the participant fee for terminated participants, then bill the Plan Sponsor for active. The Plan Sponsor is just paying for its active members, not for all participants.
MVA	**Market Value Assessment**.
Offset Table	Concession and custody offsets
OmniPlus	Sungard mainframe-based participant and transaction recordkeeping system.
PACE	**Plan and Contract Entry.** Administration tool for fee codes and schedules, deposit processing, and is the source of record for all company and plan data. Front-end to QASH.
PDM	Excess lists.
PlanNet	Standard's plan sponsor website. Allows sponsors to view plan-related information including transactions, fund balances and performance history.
PMAD	Product management department responsible for setting new business pricing and practices.
PMAN	**Proposal Manager** for new business pricing. E.g., marginal excess pricing; based on the principle that as long as revenues exceed the marginal cost of

	services, the company is better off with the sale than without it.
PRO	**Participant Reports Online.** Allows sponsors and third-party administrators to view census related data for all participants. Includes compensation, contributions, and investment allocations.
QASH	Plan asset balances, sub-ledger system, AR for RP. QASH feeds to Lawson GL.
QDRO	**Qualified Domestic Relations Order**.
RP	**Retirements Plans**.
Tenrox	Time tracking and expense tracking software.

Document Information

Revisions

This document has been revised as listed in the table below:

Version	Date	Author	Description
0.1	04/01/2008	LJH	First Draft
0.2	05/01/2008	LJH	Added content to: - Plan Info, - Add'l Svcs (business rules) - Offset Review.
0.3	05/15/2008	LJH	Removed Reports section, as it was removed from the BaRT UI.
0.31	05/20/2008	LJH	Add Deductions & Credits Calculations info to Concepts section.
0.32	05/29/2008	LJH	Heading/outline rearrangement to promote better TOC build and hierarchical searching. Add Miscellaneous section content.
0.4	05/30/2008	LJH	Add more procedures, per Tom H.
0.41	06/02/2008	LJH	Add more procedure flow, per Gelena D.
0.42	06/09/2008	LJH	Add "Ad Hoc" invoice procedure. Add "Manual Deduct" procedure. Add callout diagrams for invoice details screen. Changed document name from "BaRT User Interface Procedures" to "BaRT Invoice Generation and Release"
0.5	06/11/2008	LJH	Incorporate internal review comments.
0.51	06/13/2008	LJH	Merged parts of the BaRT UI Reference section into the Procedures section.