Vanguard 401k

Interface Requirements Specification

# Buckley LLP

# Contact Information

## Customer Contact

|  |  |  |
| --- | --- | --- |
| **Name** | **Tel** | **Email** |
| Adam Kauffman | 312-924-9800 | akaufman@buckleyfirm.com |

## Vendor Contact

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| --- | --- | --- |
| **Name** | **Tel** | **Email** |
| Derrick Mccray | ###-###-#### | derrick\_m\_mccray@vanguard.com |

## Vendor SFTP Contact

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| --- | --- | --- |
| **Name** | **Tel** | **Email** |
| Derrick Mccray | ###-###-#### | derrick\_m\_mccray@vanguard.com |

## Integration Contact

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| --- | --- | --- |
| **Name** | **Tel** | **Email** |
| Lea King | 515-480-4262 | lking@tekpartners.com |

# Revision History

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | **Date** | **Version** | **Revision Description** | **Comments** | **Environment** | **Author** |
| **1** | 01/17/2020 | 1.01 | Initial Draft |  | ☒ Prod ☐ Test | Lea King |
| **2** |  |  |  |  | ☐ Prod ☐ Test |  |
| **3** |  |  |  |  | ☐ Prod ☐ Test |  |
| **4** |  |  |  |  | ☐ Prod ☐ Test |  |

# 

# File Information

|  |  |  |  |
| --- | --- | --- | --- |
| **File Type** | Full File Only | **Output Type** | Fixed Fields and Fixed Length |
| **Interface Decommissioning** | Are there current / otherinterfaces that this interface is replacing?):  ☐ No  ☐ Yes : *Customer must open a Support Ticket to request that current interface is turned off* | **File Name** |  |
| **Frequency** | Nightly maintenance window: 12p-5am EST  ☐ Run On-Demand  ☐ Scheduled to run:  \*Open Enrollment files are always run On-Demand, even if other files are Scheduled  ☒ Payroll Automation: File will send based on Payroll . Blank files can be received? ☐ Yes  ☒ Per Pay Group (By Payroll): A separate file will generate for each Pay Group and transmit once each payroll posts and closes. Number of Pay Groups: 2 – Monthly and Semi-monthly (Weekly pay group is not eligible)  ☐ Per Pay Date (By Pay Period): A single file will generate for all Pay Groups by Per Control setup under the Payroll Automation rule and transmit once payroll has posted/closed for all included Pay Groups. Sequence 2-9 payrolls produce their own files. Pay Groups with different frequencies also produce their own files, even if there is a shared Pay Date. Pay Frequencies: | | |
| **Is automated Transmission required?** | ☐ No, file will be sent manually  ☒ Yes |  |  |
| **Export Selection Criteria Functionality** | **Select all that apply:** | **Qualifier Notes:** | |
| ☒ Pay Period Range |  | |
| ☐ Company Selector |  | |
| ☐ Data Selector |  | |

# Business Rules - Customer Confirmation

401k

1. Vendor Name:  
   Vanguard
2. Confirm Group or Plan Number: 094612
3. What Type of 401K File would you like Ultimate Software to create?

|  |  |  |
| --- | --- | --- |
| Type | Employees to Include | Notes |
| ☒ **Eligibility** | Other (Describe in Notes) | All employees except eeddedbengrp = PB or eecempt type = TMP |
| *This file typically will include All Employees Eligible for the plan whether they enroll or not.* | | |
| ☒ **Contribution** | Employees Active on Applicable Deduction Code | Click here to enter text. |
| *This file will typically only include employees who contribute to the plan via a deduction via Payroll.* | | |

1. Will you have employees that have active Deductions in multiple component companies?

☒ No ☐ Yes

1. Are there any Employee Types, Pay Groups, Org Levels, etc. that need to be excluded?

☐ No ☒ Yes

If Yes, please list field and values to exclude or include *(whichever is a shorter list)*:

Exclude eeddedbengrp = PB or eecempt type = TMP

1. **Please specify your plan year:**  
   01/01/2020 – 12/31/2020
2. What contribution types should be included on the file?

|  |  |  |
| --- | --- | --- |
| **deddedcode** | **dedlongdesc** | **Contribution Source** |
| 4K | 401k Flat Amount | AAA |
| 4KE | 401k % | AAA |
| 4KEP | 401k % Partner | AAA |
| 4KP | Partner 401k Flat Amount | AAA |
| ROTH | Roth | NRB |
| ROTHE | Roth % | NRB |
| ROTHP | Partner Roth | NRB |
| RTHEP | Partner Roth | NRB |
| 4KL1 | 401k Loan 1 |  |
| 4KL2 | 401k Loan 2 |  |

# Business Rules - Vendor Confirmation

401k

1. **Confirm how you would like to send termination of coverage on this file:**

**☒Terminations sent one time only - based on the actual (audit) date entered into UltiPro.**

☐ Terminations sent one time only - based on the actual (audit) date entered into UltiPro, with no future dated terminations.

☐ Effective Date of Termination within last \_\_ days (Ex. 30 days).

Click or tap here to enter text.

1. **Do you require a minimum coverage start date on the file (Ex. We cannot send any effective dates older than 1/1/2018 on the file)? If so, what is that date?**

**N/A**

1. **Are negative values (contributions less than $0) allowed?:**

**☐Yes**

☒ No

# Notes to Developer