





## Annual Notice Batch Data Entry Grid Key

Column Name	Details	Checklist Location	Editable
<b>Plan Name</b>	Plan Name	<b>A.2a</b> and <b>A.2b</b>	No
<b>Checklist</b>	Checklist Type: <ul style="list-style-type: none"> <li>• Prototype</li> <li>• Volume Submitter</li> </ul>	N/A	No
<b>CV</b>	Checklist Version: <ul style="list-style-type: none"> <li>• EGTRRA</li> <li>• PPA</li> </ul>	N/A	No
<b>Resp</b>	Indicates whether you are responsible for the plan (default to Yes). Only plans that have “Yes” selected will appear. <b>Options:</b> <ul style="list-style-type: none"> <li>• Yes</li> <li>• No</li> </ul>	Drop-down box on the ‘Edit Plan’ screen within the ‘Plan Modules’ box for “Plan Documents”.	No
<b>Err Doc</b>	Edit Check status for the plan. If one section of the document checklist (A-I) in ‘Not-OK’ or ‘???’ , the system will show status of  (Not-OK).  = ‘???’ (edit checks have not yet been run);  = ‘OK’	Sections <b>A-I</b>	No
<b>Err Forms</b>	Edit Check status for the administrative portion of the checklist. If Section J is ‘Not-OK’ or ‘???’ , system will show status of  (Not-OK).	Section <b>J</b>	No
<b>Year End</b>	Plan year end	<b>A.4a</b>	No
<b>Month</b>	Month of the plan end (in number format).	<b>Note:</b> Editable option found within the Annual Notice Work Flow.	No
<b>Safe Harbor</b>	Indicates whether a plan has Safe Harbor provisions. ‘Maybe’ corresponds to ‘Yes – nonelective contributions with follow-up notice’	<b>C. 1a</b> <ul style="list-style-type: none"> <li>• <b>C. 1a &amp; 2a (403(b) ERISA)</b></li> </ul>	No

Column Name	Details	Checklist Location	Editable
<b>Maybe</b>	Only applicable if Safe Harbor is 'Maybe'. If 'Yes' is selected, a follow-up notice will be included with the Annual Notice for the next year plan. Follow-up notice includes: <ol style="list-style-type: none"> <li>1. A consent action to amend the plan for the current plan year only; and</li> <li>2. A notice to participants that a contribution will be made for the current year.</li> </ol>	<b>EGTRRA: J. 35</b> <b>N/A to 403(b) plans</b>  <b>PPA: J. 76</b> <ul style="list-style-type: none"> <li>• <b>J. 37 (403(b) ERISA)</b></li> </ul>	Yes
<b>Neg Elec</b>	Indicates whether the plan has auto-enrollment for elective deferrals. This will be inapplicable if the plan is a QACA Safe Harbor or does not allow Elective Deferrals.	<b>EGTRRA: C. 7a</b>  <b>PPA: C. 6a</b> <ul style="list-style-type: none"> <li>• <b>C. 8 (403(b) ERISA)</b></li> <li>• <b>C. 4 (Other 403(b))</b></li> </ul>	No
<b>EACA</b>	Indicates whether the plan is an Eligible Automatic Contribution Arrangement. This is not applicable if the plan does not have an auto-enrollment feature (N/S/ if Neg Elec is No and the plan is not a QACA Safe Harbor).	<b>EGTRRA: C. 7f</b>  <b>PPA: C. 9a</b> <ul style="list-style-type: none"> <li>• <b>C. 8 (403(b) ERISA)</b></li> </ul>	No
<b>Neg Elec Date</b>	The due date of election forms for auto-enrollment. This can be a calendar date or a description ("30 days after the form is received", for example).	<b>EGTRRA: J. 32</b>  <b>PPA: J. 72a</b> <ul style="list-style-type: none"> <li>• <b>J. 34 (403(b) ERISA)</b></li> <li>• <b>J. 33 (Other 403(b))</b></li> </ul>	Yes
<b>Def Elect Time</b>	When Participants may modify/start/stop elections regarding Elective Deferrals/Voluntary Contributions.	<b>EGTRRA: C. 6a</b> <b>C. 11a for 403(b)</b>  <b>PPA: C. 4a</b> <ul style="list-style-type: none"> <li>• <b>C. 6a (403(b) ERISA)</b></li> <li>• <b>C. 2a (Other 403(b))</b></li> </ul>	No
<b>Def Elect (Admin Proc)</b>	Only applicable if <b>Def Elect Time</b> , see above, is " <b>Pursuant to Plan Administrator procedures</b> ", the Annual Notice will read: <b>Once I make a deferral election, how often can I change, stop, or re-start the election?</b>  You may change or re-start your deferral election as of [J. 74]. You may stop your deferrals at any time.	<b>EGTRRA: J. 33</b>  <b>PPA: J. 74</b> <ul style="list-style-type: none"> <li>• <b>J. 36 (403(b) ERISA)</b></li> <li>• <b>J. 35 (Other 403(b))</b></li> </ul>	Yes

Column Name	Details	Checklist Location	Editable
<b>Def Elect Method</b>	The method of making deferral elections.	<b>EGTRRA: J. 30a</b>  <b>PPA: J. 70a</b> <ul style="list-style-type: none"> <li>• J. 32 (403(b) ERISA)</li> <li>• J. 31 (Other 403(b))</li> </ul>	Yes
<b>Def Elect Other</b>	This is applicable if Def Elect Method is not "Paper Form". If Def Elect Method is not "Other" and not "Paper Form", the information entered here should be a complete sentence with punctuation. If "Other" is selected, the Annual Notice reads: "You may make or change your deferral election by calling the [J. 70a] at the following number: [J. 70b]"	<b>EGTRRA: J. 30b</b>  <b>PPA: J. 70b</b> <ul style="list-style-type: none"> <li>• J. 32a (403(b) ERISA)</li> <li>• J. 31a (Other 403(b))</li> </ul>	Yes
<b>Inv Elect Method</b>	The method of making investment elections.	<b>EGTRRA: J. 31a</b>  <b>PPA: J. 71a</b> <ul style="list-style-type: none"> <li>• J. 29a (PS)</li> <li>• J. 33 (403(b) ERISA)</li> <li>• J. 32 (Other 403(b))</li> </ul>	Yes
<b>Inv Other</b>	This is applicable if Inv Elect Method is not "Paper Form". If Inv Elect Method is not "Other" and not "Paper Form", the information entered here should be a complete sentence with punctuation. If "Other" is selected, the Annual Notice reads: "You may make or change your investment elections by going to the following [J. 71a] at the following number: [J. 71b]"	<b>EGTRRA: J. 31b</b>  <b>PPA: J. 71b</b> <ul style="list-style-type: none"> <li>• J. 29a.i (PS)</li> <li>• J. 33a (403(b) ERISA)</li> <li>• J. 32a (Other 403(b))</li> </ul>	Yes

Column Name	Details	Checklist Location	Editable
<b>QDIA</b>	<p>Indicate whether the Plan is intended to provide for a QDIA (Qualified Default Investment Alternative). This will not be applicable if the plan does not allow for participant direction in <b>H. 2a</b>.</p> <p>Annual Notice reads:  <b>How will my account balances be invested if I do not make an investment election?</b>            The Plan's default investments are intended to meet the requirements to be a qualified default investment alternative (QDIA).</p> <p>Default Investment Information            [J.82]</p> <p>Right to Self-Direct            [J.83]</p> <p>Additional Information            [J.84]</p>	<b>EGTRRA: J. 50a</b>  <b>PPA: J. 80</b> <ul style="list-style-type: none"> <li>• J. 31 (PS)</li> <li>• J. 46b (403(b) ERISA)</li> </ul>	Yes
<b>QDIA Default Invest</b>	Required information about default investments. See <b>QDIA</b> above.	<b>EGTRRA: J. 50b</b>  <b>PPA: J. 82</b> <ul style="list-style-type: none"> <li>• J. 33 (PS)</li> <li>• J. 47b (403(b) ERISA)</li> </ul>	Yes
<b>QDIA Self Direct</b>	Required information regarding right to self-direct, including fees and expenses. See <b>QDIA</b> above.	<b>EGTRRA: J. 50c</b>  <b>PPA: J. 83</b> <ul style="list-style-type: none"> <li>• J. 47c (403(b) ERISA)</li> </ul>	Yes
<b>QDIA Fund Info</b>	Required information about the Plan's investment funds and procedures for changing how accounts are invested. See <b>QDIA</b> above.	<b>PPA: J.84</b> <ul style="list-style-type: none"> <li>• J. 47d (403(b) ERISA)</li> </ul>	Yes

Column Name	Details	Checklist Location	Editable
<b>Maybe SH</b>	If "Yes" is selected, the Annual Notice reads: "The plan may be amended during the plan year to reduce or suspend safe harbor nonelective contributions. The reduction or suspension will not apply until at least 30 days after you are provided notice of the reduction or suspension."	<b>EGTRRA: Work with Batch Grid</b> <b>PPA: J. 76</b> <ul style="list-style-type: none"> <li>• J. 31 (PS)</li> <li>• J. 37 (403(b) ERISA)</li> </ul>	Yes
<b>Plan ID</b>	Plan ID found on the Edit Plan screen. Does not appear in the Annual Notice.	N/A	Yes
<b>Custom Date</b>	Indicate if the Annual Notice will have a custom date. If "No" is selected then the date calculated based on the Plan Year end will be used.	<b>PPA: J.72b</b> <ul style="list-style-type: none"> <li>• J. 31b (PS)</li> <li>• J. 84b (MP)</li> <li>• J. 84b (TB)</li> <li>• J. 35c (403(b) ERISA)</li> <li>• J. 34c (Other 403(b))</li> </ul>	Yes
<b>CustomDateText</b>	Indicate the custom date for the annual notice. Must be entered as MM/DD/YYYY and will follow what has been selected for the print settings.	<b>PPA: J.72b.i</b> <ul style="list-style-type: none"> <li>• J. 31b.i (PS)</li> <li>• J. 84b.i (MP)</li> <li>• J. 84b.i (TB)</li> <li>• J. 35d (403(b) ERISA)</li> <li>• J. 35d (Other 403(b))</li> </ul>	Yes
<b>Invest Change</b>	If the Plan allows for participant direction of Plan investments indicate how often the Participant can change their investment elections.	<b>PPA: J.5</b> <ul style="list-style-type: none"> <li>• J.4 (VolSubPS)</li> <li>• J.3 (VolSubGovPS)</li> </ul>	Yes
<b>Invest Change Other</b>	Only applicable if <b>Invest Change</b> , see above, is "other". Describe other times investments changes can be made by the Participant.	<b>PPA: J.5a</b> <ul style="list-style-type: none"> <li>• J.4a (VolSubPS)</li> <li>• J.3a (VolSubGovPS)</li> </ul>	Yes
<b>Contact Name</b>	Contact Name found on the "Edit Company" screen. Does not appear in the Annual Notice.	N/A	No

Column Name	Details	Checklist Location	Editable
<b>Financial Advisor</b>	The Financial Advisor information will display on the Annual Notice, SPD, Highlights, Benefits Statement and Loan Application Forms.	<b>PPA: J.96</b> <ul style="list-style-type: none"> <li>• J.44 (VolSubPS)</li> <li>• J.34 (VolSubGovPS)</li> <li>• J.36 (VolSubGovMP)</li> <li>• J.54 (403(b) ERISA)</li> </ul>	Yes
<b>Financial Advisor Name</b>	Name will be in a drop-down menu. If you need to add an additional name, it will need to be added within the plan, using the "Edit Contacts" link.	<b>PPA: J. 96a</b> <ul style="list-style-type: none"> <li>• J. 44a (VolSubPS)</li> <li>• J. 34a (VolSubGovPS)</li> <li>• J. 37 (VolSubGovMP)</li> <li>• J. 54a (403(b) ERISA)</li> </ul>	Yes
<b>SHSECURE</b>	<p>Select "Yes" to provide the annual notice for a SH non-elective plan in order to preserve the ability to reduce or suspend the SH contribution without operating at an economic loss.</p> <p>Select "No" if no annual notice is being provided for a SH non-elective plan in accordance with the SECURE Act law change. <u>Under current IRS guidance, the safe harbor contribution can only be reduced or suspended if the plan sponsor is operating at an economic loss.</u></p>	<b>PPA: J.75</b> <ul style="list-style-type: none"> <li>• N/A to 403(b) Plans</li> </ul>	Yes
<b>InclCOLALimits</b>	<p>Select "Yes" to include the current IRS published 402(g) limit on Elective Deferrals and 414(v) limit on Catch-Up contributions (if applicable) in the Annual Notice.</p> <p>Select "No" to include generic statements on maximum limits on Elective Deferrals and Catch-Up contributions (if applicable) in the Annual Notice.</p>	<b>PPA: J.78</b> <ul style="list-style-type: none"> <li>• J. 35a (403(b) ERISA)</li> <li>• J. 34a (Other 403(b))</li> </ul>	Yes
<b>AnnualNoticeCustom</b>	Describe any custom language that you wish to appear as "Additional Information" in the Annual Notice.	<b>PPA: J.79</b> <ul style="list-style-type: none"> <li>• J. 35b (403(b) ERISA)</li> <li>• J. 34b (Other 403(b))</li> </ul>	Yes