

Plan Sponsor Payroll Troubleshooting Guide

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Troubleshooting Common Errors and Warnings

Common Errors

Hire Date Must Be Greater Than Prior Separation From Service Date

Our system retains employment history dates for each employee based on the information you provide to us. You will receive this message if the Employment Status, most recent Hire Date and termination date (Employment End Date) being provided are inconsistent.

1. Compare the information from your payroll file to the data on file for the employee.

The green highlighted area is the new information being imported from the payroll roster.

The blue highlighted area is the information already within the system for the participant.

1 Error

SSN: | Name: | Payroll Date: 06/09/2017

Employee 1 Message Participant Loan Repayment

Address 1: W2372 schure drive

Address 2:

City: Oconomowoc

Zip Code: 530669322

Birth Date: 01/10/1992

Hire Date: 05/01/2011

Hire Date Must Be Greater Than Prior Separation From Service Date

Employment Status: Active

Cancel Re-validate Save Updates

2. Determine what Hire Date, Employment End Date and Employment Status are appropriate for the individual.
 - a. If the employee is active, the Hire Date should be the later of his/her original hire date or most recent rehire date, the Employment End Date should be the most recent termination date **and** the Employment Status should be Active.
 - b. If the employee is terminated, the Hire Date should precede the Employment End Date, the Employment End Date should be the most recent termination date, and Employment Status should be Terminated.
3. Make the necessary modifications on this screen.
4. Press the “Re-validate” button to clear the hard error(s).
5. Click “Save Updates” to return to the “Review Payroll Details” screen.
6. Update your payroll system to prevent the error from occurring with your next payroll cycle.

Troubleshooting Common Errors and Warnings

Separation From Service Date Must Be Greater Than Hire Date

Our system retains employment history dates for each employee based on the information you provide to us. You will receive this message if the Employment Status, most recent Hire Date and termination date (Employment End Date) being provided are inconsistent.

1. Compare the information from your payroll file to the data on file for the employee.

The screenshot shows the 'Employee Details' form with the following information:

SSN:	Name:	Payroll Date:	06/30/2017
Employee	2 Messages	Participant	Loan Repayment
2 Errors			
City	Oconomowoc	Oconomowoc	
Zip Code	530669322	530669322	
Birth Date	01/10/1992	01/10/1992	
Hire Date		02/06/2016	
Employment Status	Active		
Employment End Date	01/01/2015		
Employment End Reason Or Separated From Service Employment Status Is Required.			
Separation From Service Date Must Be Greater Than Hire Date			
Cancel	Re-validate	Save Updates	

2. Determine what Hire Date, Employment End Date and Employment Status are appropriate for the individual.
 - a. If the employee is active, the Hire Date should be the later of his/her original hire date or most recent rehire date, the Employment End Date should be the most recent termination date **and** the Employment Status should be Active.
 - b. If the employee is terminated, the Hire Date should precede the Employment End Date, the Employment End Date should be the most recent termination date, and Employment Status should be Terminated.
3. Make the necessary modifications on this screen.
4. Press the "Re-validate" button to clear the hard error(s).
5. Click "Save Updates" to return to the "Review Payroll Details" screen.
6. Update your payroll system to prevent the error from occurring with your next payroll cycle.

Troubleshooting Common Errors and Warnings

Employee Is In A Plan/Location/Affiliate Which You Are Not Authorized To Access

Access to add an employee or update indicative information for an employee may be restricted in limited situations. This may occur if your profile has been configured to only provide you access to one or more locations or affiliates within the plan and the employee is currently associated with a location or affiliate to which you do not have access. Alternatively, you may be attempting to add or update indicative information for an individual that was a former employee of another employer who sponsors a plan on our platform and the information you are attempting to load is inconsistent with the information of record.

1. Contact your Relationship Manager if you receive this hard error for assistance in making any necessary additions or modifications.

Employee Details

SSN: xxx-xx- | Name: Smith, John | Payroll Date: 06/15/2017

Employee 1 Message Participant Loan Repayment

✖ 1 Error

✖ This Employee Is In A Plan/Location/Affiliate Which You Are Not Authorized To Access. You Are Unable To Add Or Update The Employee To Plan.

Hire Date	<input type="text" value="01/29/2016"/> <small>MM/DD/YYYY</small>	
Gender Code	<input type="text" value="Male"/>	
Employment Status	<input type="text" value="Active"/>	
Employment End Date	<input type="text"/> <small>MM/DD/YYYY</small>	
Plan Per Payroll Hours	<input type="text" value="45.58"/>	0.00
Anniversary Per Payroll Hours	<input type="text" value="45.58"/>	0.00
State/Country	<input type="text" value="Michigan - Mi(21)"/>	
Affiliate	<input type="text" value="00-0"/>	
Plan Year Salary	\$ <input type="text" value="641.52"/>	

Troubleshooting Common Errors and Warnings

Common Warnings

Loan Repayment of xx.xx Does Not Equal The Scheduled Repayment of xx.xx For Loan ID # / The Payroll Date For Loan ID # Is Invalid

If the system does not automatically divide the total loan payment among the active loans that are expecting payments, manually enter the correct amount for each active loan. All loan repayments must have the same payroll date as the payroll date for the file.

1. Click on the “Loan Repayment” tab.
2. Enter the loan payments appropriately, while also ensuring that the loan payment date for each loan matches the payroll date for the entirety of the file.
3. In the event that a loan’s balance is paid off, apply the remaining portion of the funds to the oldest active loan for the participant and correct subsequent payroll files to reflect the correct loan payment amounts for all active loans.
4. Click “Save Updates” to return to the “Review Payroll Details” screen.

The screenshot displays the 'Employee Details' interface for John Smith. The 'Payroll Date' is 07/21/2017. The 'Loan Repayment' tab is active, showing two warnings: 'Ct0demo1- Loan Repayment Of \$19.37 Does Not Equal The Scheduled Repayment Amount Of \$6.20 For Loan ID 6.' and 'Aggregated Loan Payment Amount Does Not Equal The Sum Of The Scheduled Loan Payment Amounts. Payment Amount Applied To Loan ID 6'. Below the warnings is a table of loan payments with columns for Loan Id, Payment Date, and Amount. The 'Payment Date' column is highlighted with an orange box. The 'Amount' column shows values of 0.00, 19.37, 0.00, and 0.00 for the four loans. The 'Aggregated Total' is \$19.37 and the 'Payment Total' is \$19.37. Buttons for 'Cancel', 'Re-validate', and 'Save Updates' are at the bottom.

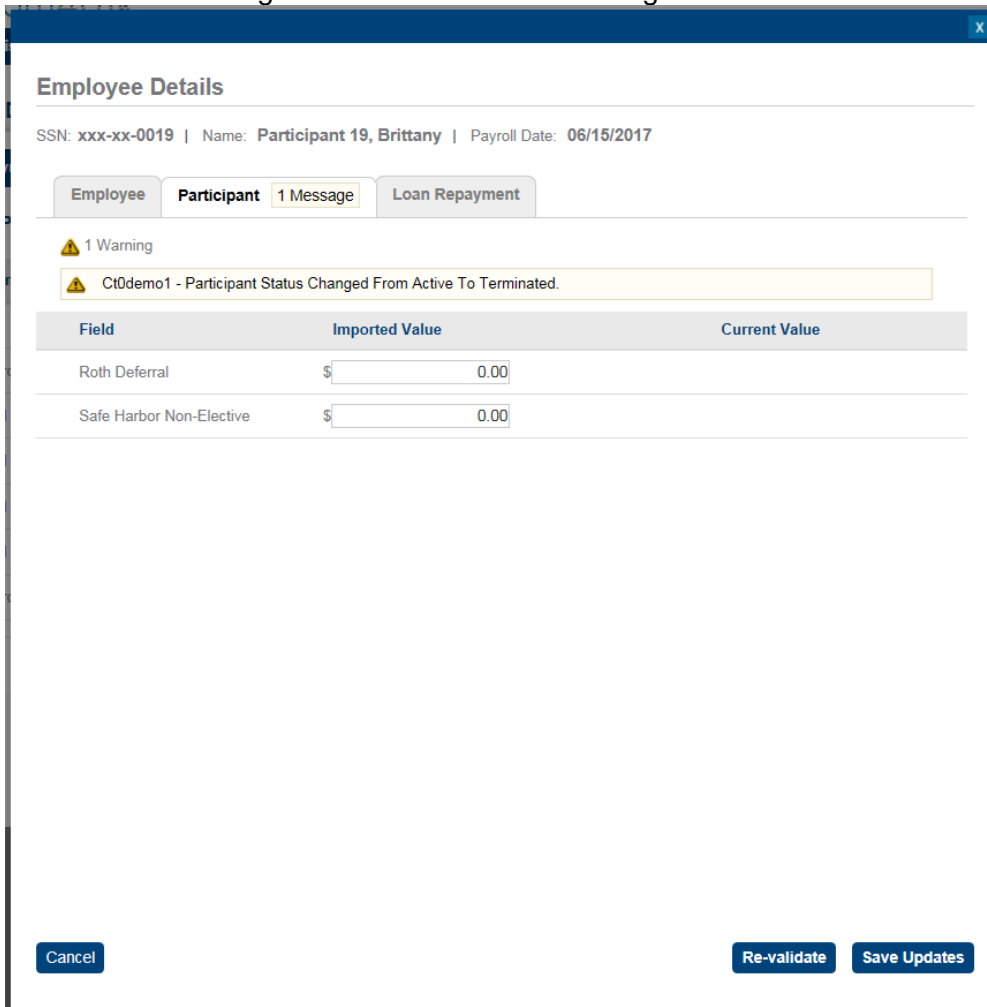
Loan Id	Payment Date	Amount
CT0DEMO1-4.95-4	07/21/2017 MM/DD/YYYY	\$ 0.00
CT0DEMO1-6.20-6	07/21/2017 MM/DD/YYYY	\$ 19.37
CT0DEMO1-4.48-7	07/21/2017 MM/DD/YYYY	\$ 0.00
CT0DEMO1-3.74-8	07/21/2017 MM/DD/YYYY	\$ 0.00

Troubleshooting Common Errors and Warnings

Participant Status Changed From X to XX

The recordkeeping system uses Employment Status to determine whether or not the employee is actively employed for purposes of accruing service for eligibility and vesting purposes, as well as determining entitlement to employer allocations. Participant Status is used to indicate the employee's eligibility status in accordance with the terms of the plan. Common Participant Status codes include Not Eligible, Eligible, Active and Terminated. You will receive this message if the information provided in your file has prompted a change in the Participant Status of the employee.

1. Review the warning and confirm the status change is correct.



The screenshot shows a web application window titled "Employee Details". At the top, it displays "SSN: xxx-xx-0019 | Name: Participant 19, Brittany | Payroll Date: 06/15/2017". Below this are four tabs: "Employee", "Participant", "1 Message", and "Loan Repayment". The "Participant" tab is selected. A warning icon (yellow triangle with exclamation mark) is shown above the text "1 Warning". Below the warning, a yellow box contains the message: "Ct0demo1 - Participant Status Changed From Active To Terminated." Below the warning is a table with three columns: "Field", "Imported Value", and "Current Value". The table has two rows: "Roth Deferral" with a value of "\$ 0.00" and "Safe Harbor Non-Elective" with a value of "\$ 0.00". At the bottom of the window, there are three buttons: "Cancel", "Re-validate", and "Save Updates".

Field	Imported Value	Current Value
Roth Deferral	\$ 0.00	0.00
Safe Harbor Non-Elective	\$ 0.00	0.00

2. Make the necessary modifications on this screen.
3. Press the "Re-validate" button to clear the hard error(s).
4. Click "Save Updates" to return to the "Review Payroll Details" screen.
5. Update your payroll system to prevent the error from occurring with your next payroll cycle.

Troubleshooting Common Errors and Warnings

Hire Date Is Prior to 16th birthday Or After 65th Birthday

To ensure that the dates in the recordkeeping system are valid, the system runs your data through a series of validation steps. You will receive this message if the Hire Date you provide precedes the employee's 16th birthday or falls after the employee's 65th birthday.

1. Confirm that the Birth Date and Hire Date are correct.

The screenshot shows the 'Employee Details' form for Participant 19, Brittany. The form includes fields for Address 1, Address 2, City, Zip Code, Birth Date, Marital Status, and Hire Date. A warning message is displayed at the bottom of the form, stating 'Hire Date Is Prior To 16th Birthday Or After 65th Birthday'. The Birth Date is 12/28/1930 and the Hire Date is 01/01/2014. The form also has buttons for 'Cancel', 'Re-validate', and 'Save Updates'.

Field	Value	Value
Address 1	4321 lassiter at north hills	4321 lassiter at north hills ave
Address 2	Ste 250	Ste 250
City	Raleigh	Raleigh
Zip Code	276095782	276095782
Birth Date	12/28/1930 MM/DD/YYYY	12/28/1930
Marital Status		
Hire Date	01/01/2014 MM/DD/YYYY	01/01/2014

Warning: Hire Date Is Prior To 16th Birthday Or After 65th Birthday

Buttons: Cancel, Re-validate, Save Updates

2. Make the necessary modifications on this screen.
3. Press the "Re-validate" button to clear the hard error(s).
4. Click "Save Updates" to return to the "Review Payroll Details" screen.
5. Update your payroll system to prevent the error from occurring with your next payroll cycle.

Other Errors and Warnings

Message Text	Severity	Employee Detail Tab	Employee Detail Field	Action Required	Source of Issue
Address line 1 is required.	Error	Employee	Street 1	Ensure data field is provided for all employee records.	File
Affiliate is required.	Error	Employee	Affiliate	Ensure Affiliate column is provided on file.	File
Birth Date is required.	Error	Employee	Birth Date	Ensure data field is provided for all employee records.	File
Birth Date must be less than or equal to current date.	Error	Employee	Birth Date	Ensure Birth Date is accurate for each employee record. Future Birth Dates cannot be loaded.	File
City is required.	Error	Employee	City	Ensure City is provided on the file for each employee record.	File
Domestic Number must be at least 10 digits in length.	Error	Employee	Phone Number	Ensure data is formatted correctly.	File
Error Code: 1000 - - 6793944299 Root Cause: For input string: "XXXX" Error Message: Unknown error happens.	Error	N/A	Unknown Error message may occur when reviewing participants that have multiple records.	Consolidate the contributions, hours, and compensation of the participant with multiple records into one line.	File
Gender Code is invalid.	Error	Employee	Gender Code	Ensure data on file is in an acceptable format.	File
Hire date is prior to birth date.	Error	Employee	Hire Date or Birth Date	Ensure Birth and Hire Dates are accurate.	File
Hire Date is required.	Error	Employee	Hire Date	Ensure Hire Date is provided on file.	File
Last Name is required.	Error	Employee	Last Name	Ensure Last Name is provided on the file for each employee record.	File
Leave of absence must fall within employment period.	Error	Employee	Leave of Absence Begin Date	Ensure the leave date is accurate as well as the employment dates.	File or employee record

Other Errors and Warnings

Message Text	Severity	Employee Detail Tab	Employee Detail Field	Action Required	Source of Issue
Loan ID XXXX is invalid.	Error	Loan Repayment	Loan Id	Ensure the correct Loan ID is provided.	File or employee record
Loan payroll date XXXXXXXXXXXX is greater than roster payroll date.	Error	Loan Repayment	Loan Payroll Date	Ensure that the Loan Date is the same as the Payroll Date.	File
Loan repayment not allowed. Loan XXXXX has a zero balance.	Error	Loan Repayment	Loan Amount	Ensure that the repayment is getting credited to the correct Loan ID. If the Loan ID is correct, the loan in question has been paid in full. You should return the funds to the employee directly.	File
Loan Repayment of (\$###.##) match more than one loan.	Error	Loan Repayment	Loan Amount	Ensure Loan Payment is credited to the correct Loan ID.	N/A
Marital Status is invalid.	Error	Employee	Marital Status	Ensure data on file is in an acceptable format.	File
Negative contributions are not allowed. The negative contribution plan service is not available for this plan.	Error	Participant	Contribution Amount	Ensure all contribution values are positive. Contact your Relationship Manager if contribution adjustments are necessary. These types of corrections must be completed outside the payroll process.	File
New employee not added to TRAC.	Error	Employee	None	Ensure that the payroll file includes all indicative data needed to add an employee. These data elements include: SSN, First Name, Last Name, Address, Birth Date, Hire Date and Employment Status. If you are unable to add the new employee through import, you can try to manually add the employee. If you continue to encountered problems, please contact your Relationship Manager.	File or employee record

Other Errors and Warnings

Message Text	Severity	Employee Detail Tab	Employee Detail Field	Action Required	Source of Issue
No active status loan to match the loan repayment amount of {XXX,XXX.XX}.	Error	Loan Repayment	Loan Amount	Ensure loan payment is processed to an active loan or the correct Loan ID (if more than 1 loan exists).	File or employee record
Plan is pending termination, updating roster information is not allowed.	Error	Participant	Contribution Amount or Loan ID	Contact your Relationship Manager for more details.	Plan set up
Separation from service date is required for separation from service status.	Error	Employee	Employment Status	Ensure a termination date is provided for each employee in a terminated status.	File
Separation of service date must be less than or equal to current date.	Error	Employee	Employment End Date	Ensure that termination dates are not future dates. Future termination dates cannot be added.	File
State / Country is invalid.	Error	Employee	State/Country	Ensure State is provided for each employee record.	File
Telephone number entered is not numeric.	Error	Employee	Phone Number	Ensure data is formatted correctly.	File
Termination date is required for rehire.	Error	Employee	Hire Date	Ensure employee service history is accurate and all dates are provided.	File or employee record
The participant is awaiting eligibility. Contributions are only valid for rollover or trustee transfer money types.	Error	Participant	Contribution Amount	Confirm the employee is not eligible and remove contributions for the individual.	File or employee record
The participant is not eligible to contribute to the {money type name} money type.	Error	Participant	Contribution Amount	Confirm the participant is not eligible for the money type and remove the contributions for the ineligible money type.	File or employee record
Total Plan hours must be positive.	Error	Employee	Plan Hours	Ensure Hours provided are positive values.	File
Zip code is invalid.	Error	Employee	Zip Code	Ensure zip code is accurate.	File
Zip Code is required.	Error	Employee	Zip Code	Ensure Zip Code is provided for each employee record.	File

Other Errors and Warnings

Message Text	Severity	Employee Detail Tab	Employee Detail Field	Action Required	Source of Issue
{money type name} Contribution is invalid for a suspended participant.	Warning	Participant	Contribution Amount	Ensure Participant status is accurate.	File or employee record
Anniversary Hours already exist for payroll date. Hours amount of #####.## will be added to hours amount of #####.##.	Warning	Employee	Anniversary Hours	Ensure you are not submitting a duplicate payroll file.	File or employee record
Compensation already exists for payroll date. \$0.00 will be added to the existing compensation amount of \$0.00.	Warning	Employee	Compensation Type Amount or Compensation Subtype Amount	Ensure you are not submitting a duplicate payroll file.	File or employee record
Contributions received but employee is separated from service.	Warning	Participant	Contribution Amount	Ensure Participant Status is accurate.	File or employee record
Employment End Date of {MM/DD/YYYY} will replace current Employment End Date on file.	Warning	Employee	Employment End Date	Ensure the termination date is accurate.	File or employee record
First Name not entered.	Warning	Employee	First Name	Ensure first names are provided on the file.	File
Hire Date is determined to be a rehire.	Warning	Employee	Hire Date	Ensure the participant is rehired and the date is accurate.	File
Hire Date on payroll of {MM/DD/YYYY} will replace hire date on file of {MM/DD/YYYY}.	Warning	Employee	Hire Date	Ensure hire dates are accurate.	File or employee record
Loan repayment of {\$ XXX.XX} does not equal the scheduled payment amount of {\$XXX.XX}.	Warning	Loan Repayment	Loan Amount	Ensure loan payment is processed to the correct Loan ID and is for the correct amount.	N/A
New employee added to TRAC.	Warning	Employee	None	If this exists for a large number of employees for an upload, verify the SSN's are accurate and a modification wasn't completed to create new incorrect participants.	File or employee record
Participant has contributions that exceed the plan 415C limit by {excess amount}.	Warning	Participant	Contribution Amount	Ensure contribution amounts are accurate. This is a warning, but the transactions will fail and contributions exceeding the limit will not be traded.	File or employee record

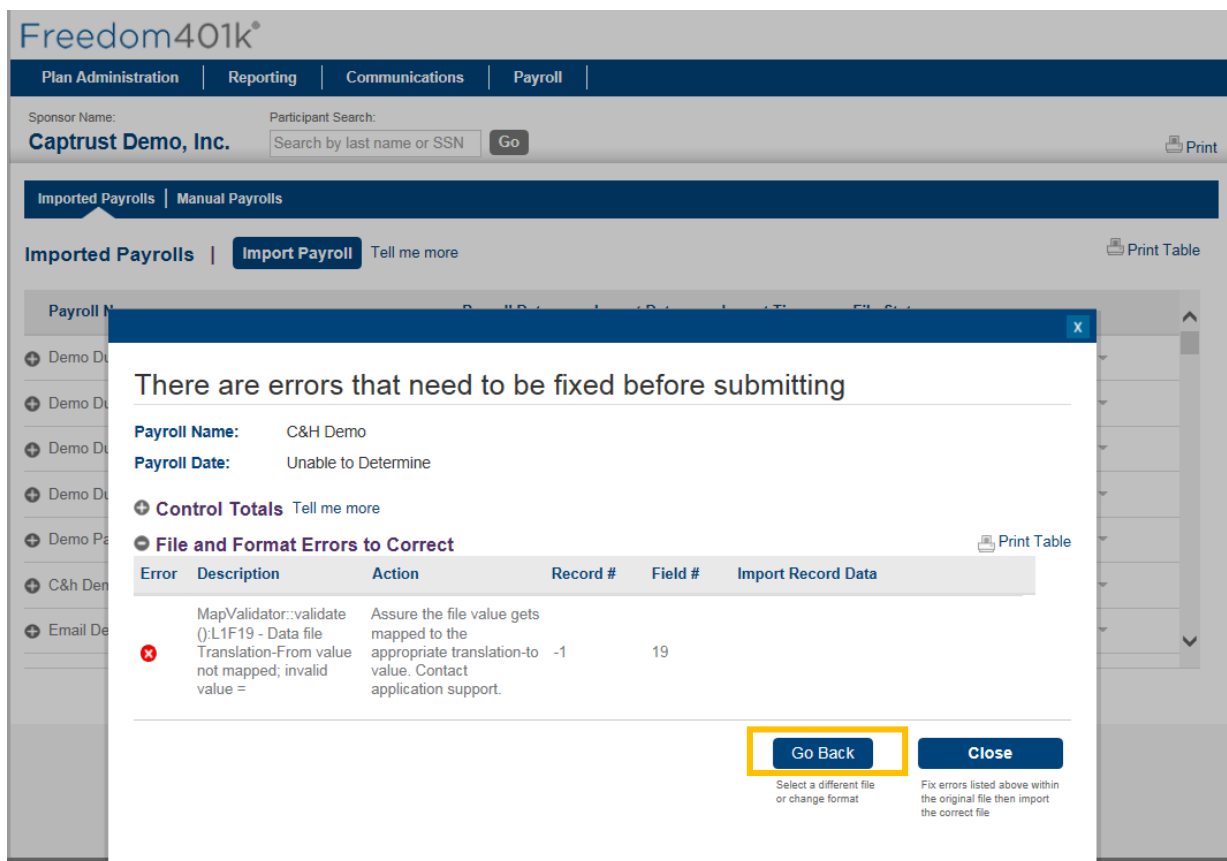
Other Errors and Warnings

Message Text	Severity	Employee Detail Tab	Employee Detail Field	Action Required	Source of Issue
Participant has elective deferral contributions that exceed the plan limit of {limit amount} by {excess amount}.	Warning	Participant	Contribution Amount	Ensure contribution amounts are accurate. This is a warning, but the transactions will fail and contributions exceeding the limit will not be traded.	File or employee record
Payroll period {Hours Type} Hours exceed 200 hours.	Warning	Employee	Plan Hours or Anniversary Hours	Ensure Hours do not exceed 200 for a participant.	File
Plan Hours already exist for payroll date. Hours amount of #####.## will be added to hours amount of #####.##.	Warning	Employee	Plan Hours	Ensure you are not submitting a duplicate payroll file.	File or employee record
The loan repayment exceeds the existing loan balance.	Warning	Loan Repayment	Loan Amount	Ensure loan payment is processed to the correct Loan ID and is for the correct amount.	N/A
Total compensation amount must be positive.	Warning	Employee	Compensation Type Amount or Compensation Subtype Amount	Ensure Compensation Type and Sub types are positive.	File

Initial Upload Errors

Ghost Data Error

You will be unable to import your payroll file if the data routine identifies formatting, text or spaces in columns, rows or fields unrelated to your payroll information. A screen shot of the error message that you may receive if this error occurs is captured below.



To resolve the error, take the following action:

1. Open your payroll file.
2. Highlight (Ctrl + Shift + Right Arrow) and delete all columns to the right of your payroll information.
3. Highlight (Ctrl + Shift + Down Arrow) and delete all rows to the bottom of your payroll information.
4. Save your file.
5. Repeat Step 2: Uploading Your Payroll File as referenced on page 4.

Initial Upload Errors

Incorrect Field / Mapping Error

If the number of columns on your payroll file do not match the number expected in the data mapping routine you selected, you will receive one or more error messages when attempting to import your payroll file.

Sponsor Name: Captrust Demo, Inc. Participant Search: Search by last name or SSN Go Print

Imported Payrolls | Manual Payrolls

Imported Payrolls | Import Payroll Tell me more Print Table

Payroll Name: C&H Demo

Payroll Date: Unable to Determine

Control Totals Tell me more

File and Format Errors to Correct Print Table

Error	Description	Action	Record #	Field #	Import Record Data
✘	Number of fields in record not accurate	Expected [24] fields for this record but received [25] fields	2	0	6/15/2017,555-55-0019,PARTICIPANT 19,BRITTANY,,,1,0,0,0,0,12/28/1930,1/1/2014,6/1/2017,A,4321 LASSITER AT NORTH HILLS AVE ,STE 250,RALEIGH ,NC ,27609-5782,.....
✘	Number of fields in record not accurate	Expected [24] fields for this record but received [25] fields	3	0	6/15/2017,555-55-0008,PARTICIPANT 8,STEVE,,,1,0,0,0,0,10/6/1984,6/12/1995 ,,A,4321 LASSITER AT NORTH HILLS AVE ,STE 250,RALEIGH ,NC ,27609-5782,.....
	Control Total	Control total mismatch for CONTRIBUTION AMOUNT: Imported value = 2.00, Calculated	0	72,0,0,0,0,.....

Go Back Select a different file or change format

Close Fix errors listed above within the original file then import the correct file

To resolve the error, take the following action:

1. Confirm that you selected the correct data routine under Step 2: Uploading Your Payroll File.
2. Compare your current payroll against a recent payroll file to identify any discrepancies in number or ordering of your columns.
3. Modify your payroll file as appropriate.
4. Save your file.
5. Repeat Step 2: Uploading Your Payroll File as referenced on page 4.

Appendix

Input File Limitations

Field	Minimum Length	Maximum Length
Payroll Date	6	8
Social Security Number	1 (Leading 0 assumption)	9
Plan ID	7	7
First Name	N/A	15
Middle Name	N/A	15
Last Name	N/A	25
Address 1	N/A	35
Address 2	N/A	35
Address 3	N/A	35
City	N/A	35
State	N/A	N/A
Zip Code	N/A	9
Residential Address 1	N/A	35
Residential Address 2	N/A	35
Residential Address 3	N/A	35
Residential City	N/A	35
Residential State	N/A	N/A
Phone Number	N/A	15
Birth Date	6	8
Hire Date	6	8
Prior Employee Hire Date	6	8
Leave of Absence begin date	6	8
Leave of Absence end date	6	8
Employee ID	N/A	20
Hours Amount (YTD)	N/A	9999.99
Hours Amount (Pay Period)	N/A	200.00
Job ID	N/A	20
Department Code	N/A	20
Department Number	N/A	20
Store Code	N/A	20
Division Code	N/A	20
Region Code	N/A	20
Payroll Site	N/A	20