

PlanFocus® Reference Series: Reporting

Basic. Detailed. Custom. You decide.

Whether you want general plan information or in-depth analysis, you can do it all from the *Reporting* section of PlanFocus®.

This guide provides an overview of the different reporting options and step-by-step instructions to help you make the most of these features.



Click to be taken to any section.

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Quick tip

Depending on your plan, the data you provide to TIAA and what you're entitled to access, you may not see all the features highlighted in this guide. Please contact your plan sponsor if you have any questions.

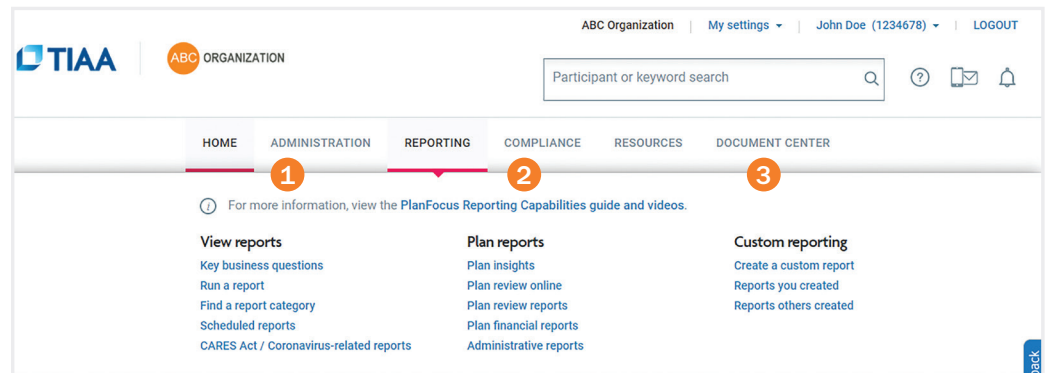
Reporting overview

The *Reporting* section expands on the data found on the PlanFocus® home page. In this one location, you can easily gather information to help you:

- Identify trends—such as whether more participants are using target-date funds over other investment options
- Measure goals—such as whether participants are contributing at least 6% to their retirement plans
- Develop targeted communication strategies based on what you've learned

The Reporting menu is organized into three sections to help you quickly find what you need:

1. View reports
2. Plan reports
3. Custom reporting



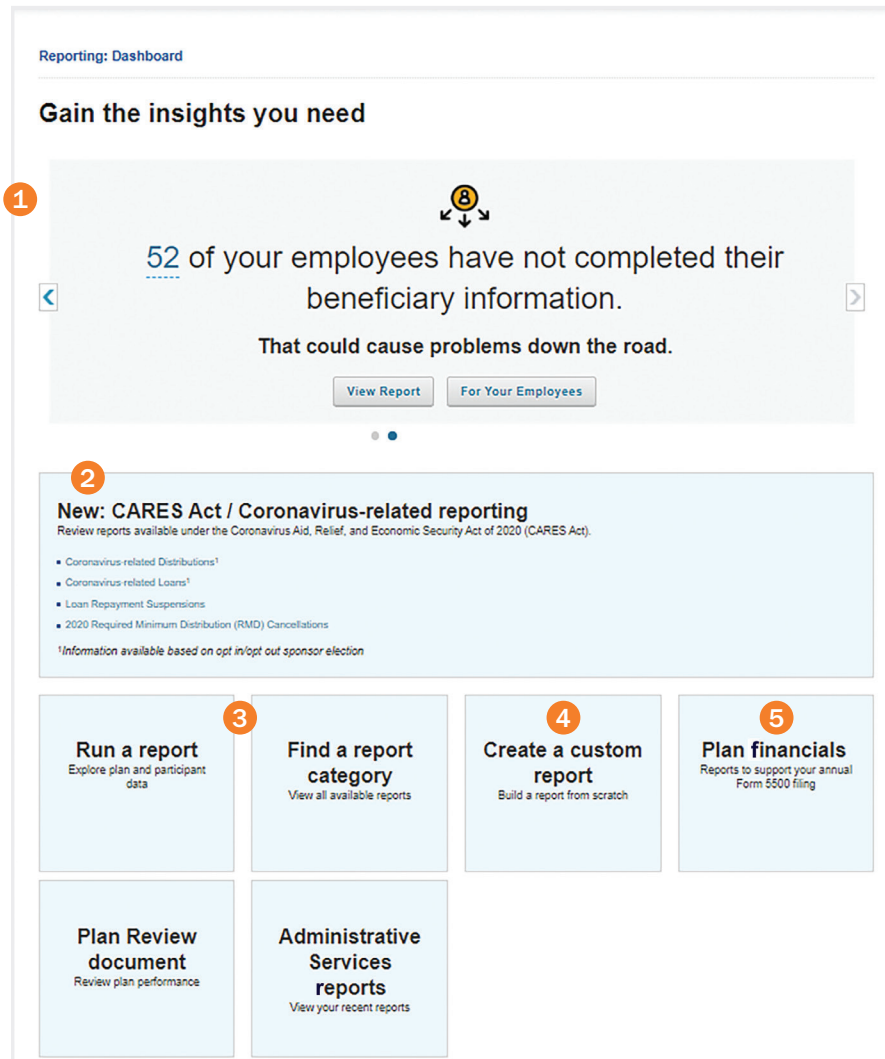
Quick tip

Depending on your plan, the data you provide to TIAA and what you're entitled to access, you may not see all the features highlighted in this guide. Please contact your plan sponsor if you have any questions.

Reporting dashboard

Whatever you need, there's a report for you. Within the *Reporting* section, access all reports from the reporting dashboard.

- 1. Gain the insights you need**—Learn important facts about your plan and participants
 - Click *View Report* to run the report to learn more about that specific topic.
 - Click *For Your Employees* to download a handout to send to your employees.
- 2. CARES Act/Coronavirus-related reporting**—View reports that detail coronavirus-related distributions
- 3. Run a report or find a report by category**—View predefined plan and participants reports from a wide range of topics.
- 4. Create a custom report**—Build a report from scratch with just the information you need.
- 5. Access plan financials**—View reports that support your annual Form 5500 filing.




Please note:


You may not see all these features on the home page. You'll only see the ones applicable to your plan that you're entitled to access. Please contact your plan sponsor if you have any questions about your access level.

Reporting dashboard, cont.


- 6. Key business questions for deeper insights**—Quickly get answers to your most common questions and other topics to help oversee your plans. Select *See more* to view questions that are organized by topic. Reports can be modified, downloaded and shared.
- 7. Scheduled reports ready for your review**—View a listing of reports that you have scheduled. You will be notified via email that the report is available. You can click on the report name to view it or you can click on the three dots and the *Open* link to view it. It will open as a .csv file. Or, you can click on *See more* to view additional reports.
- 8. Reports you created**—View a list of any reports you have created or saved. You can click on the report to view or edit it further, or click on the three dots to delete, share or edit/schedule an alert.
- 9. Reports others created**—View a list of any reports that have been created and saved by others in your organization.

6  **Key business questions for deeper insights** [See more](#)


| |
|--|
| Which participants are default investors, in which asset classes? › |
| Which participants are enrolled in QDIA? › |
| Which employees are eligible, but not participating? › |
| What is the total of contributions this year by default investors? › |

7  **Scheduled reports ready for your review** [See more](#)

| | |
|---|---|
| Scheduled report name <small>Created 20/11/2017</small> | ⋮ |
| Total contribution by asset class and source this year <small>Created 20/11/2017</small> | ⋮ |
| Number of participants with an outstanding loan <small>Created 20/11/2017</small> | ⋮ |
| Another scheduled report name <small>Created 20/11/2017</small> | ⋮ |

8  **Reports you created** [See more](#)

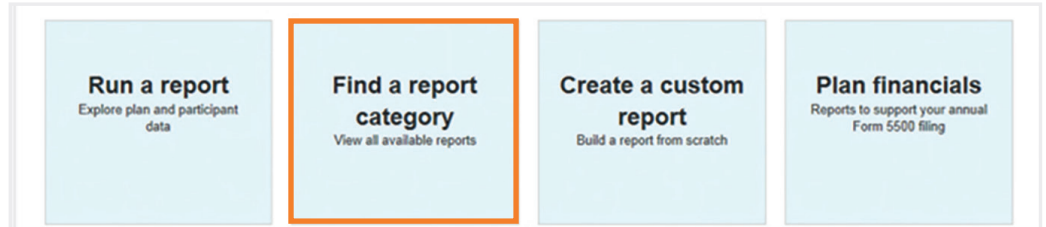
| | |
|--|---|
| # of participants with a balance | ⋮ |
| Eligibility status of employees | ⋮ |
| Counts of participants by salary deferral status | ⋮ |
| # of participants with an outstanding loan | ⋮ |
| Create a custom report + | |

9  **Reports others created** [See more](#)

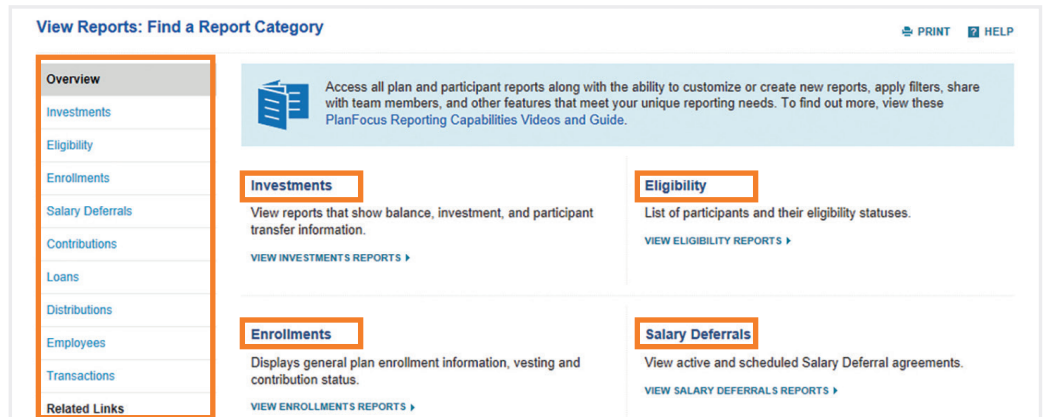
| | |
|--|---|
| # of participants with a balance | ⋮ |
| Eligibility status of employees | ⋮ |
| Counts of participants by salary deferral status | ⋮ |
| # of participants with an outstanding loan | ⋮ |
| Total contribution with a loan | ⋮ |

Find and view a report

Step 1: Choose *Find a report category* from the Reporting dashboard.



Step 2: Select the topic you want either from the list on the left or the boxes on the main part of the page.

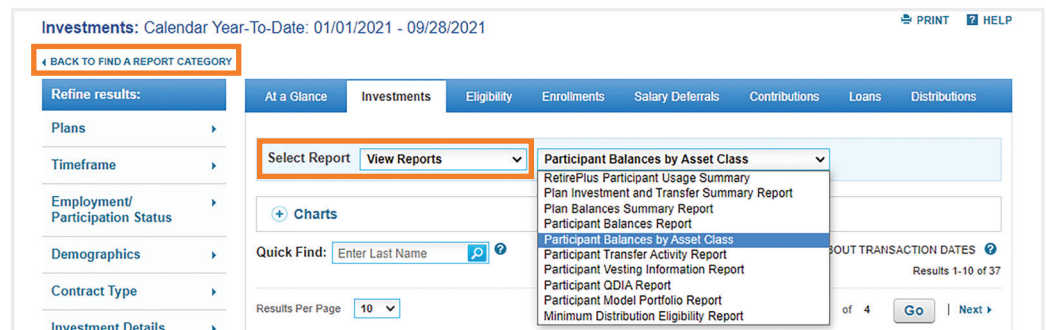


Quick tips

- You can filter the information in the report to dig deeper. See page 11 for details.
- You can also customize the information that is included. Simply click the *Customize* button and follow steps three to five in the *Create a custom report* section of this guide.
- Consider scheduling an email reminder for reports you'll use on a regular basis. See page 13 for details.

Step 3: Choose the report you want to view. It will be automatically generated for you.

Step 4: If you want to view another report in this topic, simply pick the one you want from the *Select Report* drop-down menu. Or click on the *Back to Find a Report Category* link to select a new topic from the list.



Modify an existing report

Not finding exactly what you need, any existing report within the *Reporting* section can be modified by applying a filter(s) and/or by selecting the *Customize* button (available for most reports).

For example, if you need to email all participants that made a contribution to their plan during the last quarter; with a few simple clicks, you can generate a report with this information.

Step 1: Click on the *Find a report category* and select *View Contributions Reports*

The screenshot shows the PlanFocus Reporting interface. At the top, there is a navigation bar with tabs: HOME, ADMINISTRATION, REPORTING (highlighted with a red arrow), COMPLIANCE, RESOURCES, and DOCUMENT CENTER. Below the navigation bar, there is a section for 'View reports' with three columns: 'View reports', 'Plan reports', and 'Custom reporting'. The 'View reports' column contains links for 'Key business questions', 'Run a report', 'Find a report category' (highlighted with an orange box), and 'Scheduled reports'. The 'Plan reports' column contains links for 'Plan insights', 'Plan review online', 'Plan review reports', 'Plan financial reports', and 'Administrative reports'. The 'Custom reporting' column contains links for 'Create a custom report', 'Reports you created', and 'Reports others created'. Below this, there is a grid of report categories. The 'Contributions' category is highlighted with an orange box and contains a link for 'VIEW CONTRIBUTIONS REPORTS >'. Other categories include 'Investments', 'Eligibility', 'Enrollments', 'Salary Deferrals', 'Loans', 'Distributions', and 'Employees'. A sidebar on the left contains links for 'Loans', 'Distributions', 'Employees', 'Transactions', and 'Related Links'.

Step 2: Click on the *Participant Contributions Report*

The screenshot shows the 'REPORTING' tab selected in the top navigation bar. Below it, a table lists various report categories. The 'Participant Contributions Report' is highlighted with an orange box. The table has three columns: 'Report', 'Description', and 'Related Links'.

| Report | Description |
|--|--|
| Plan Contributions Report | Summary of contributions including monthly trends and contribution source details. |
| Participant Contributions Plan Report | List of participant contributions at plan level by any date range. |
| Participant Contributions Source Report | List of participant contributions at source level by any date range. |
| Participant Contributions Details Report | List of participant contributions by any date range. |
| Participant Contributions Report | List of participant contributions activity. |
| Contributions Summary Report | Summary of plan contributions by contribution date. This is an updated version of the legacy Contributions report. |
| Contributions Details Report | List of participant contributions. |

Quick tip

If you do not see the *Refine results* column on the left side of the screen, click the *Show Filter* button on the left side of the screen.

Step 3: Click on the *Timeframe* link on the left-side and select *Last Complete Calendar Quarter*, then click the *Update* button.

The screenshot shows the 'Contributions: Calendar Year-To-Date: 01/01/2021 - 09/28/2021' report. A modal window is open for selecting a timeframe. The 'Timeframe' link in the left sidebar is highlighted in orange. In the modal, the 'Last Complete Calendar Quarter' radio button is selected and highlighted in orange. The 'Update' button is also highlighted in orange. Below the modal, the report summary shows:

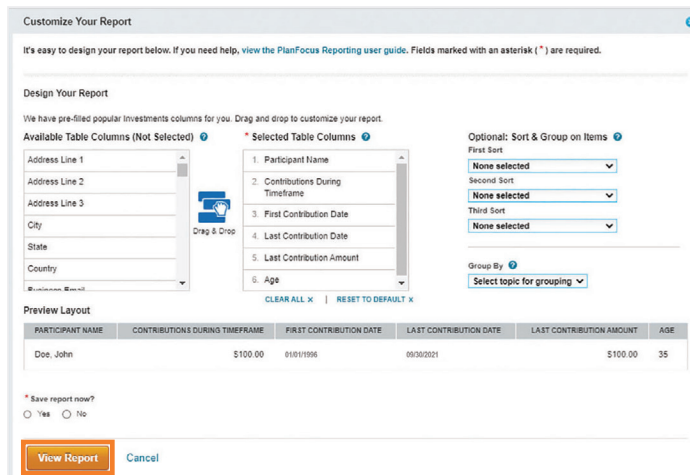
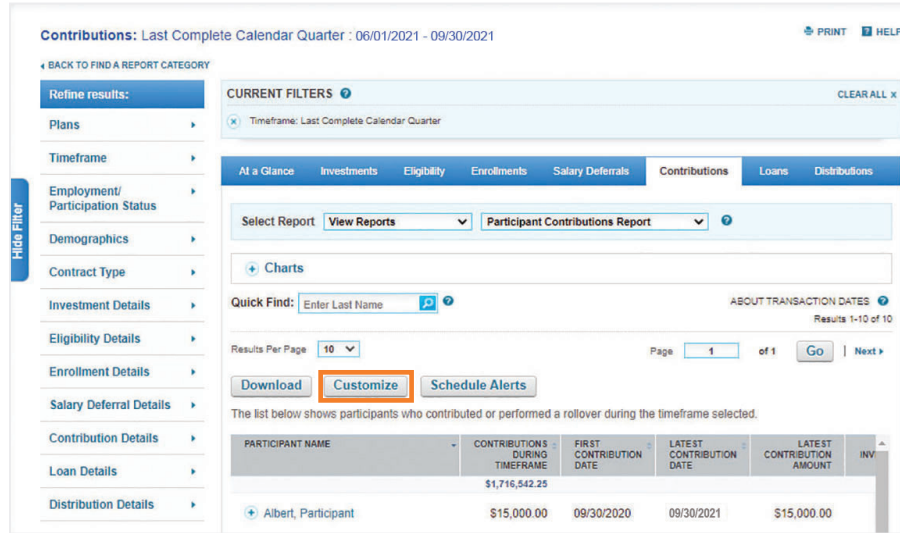
| | | | |
|--------------------------|------------------|----------------------|-----------------|
| TOTAL PLAN CONTRIBUTIONS | \$131,930,571.59 | TOTAL PLAN ROLLOVERS | \$10,968,041.45 |
|--------------------------|------------------|----------------------|-----------------|

Quick tip

The fields in the *Available Table Columns* begin with the participant's name, address and email. The rest are in alphabetical order. Scroll up and down to see all the fields.

You can reorder the fields in the *Selected Table Columns* by dragging them up and down.

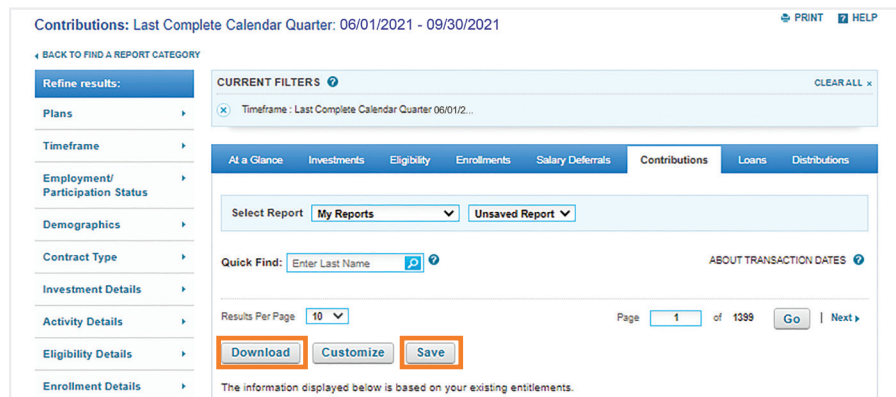
Step 4: To add the participant's email address, you must then click on the *Customize* button and select *Primary email* from *Available Table Columns*. Drag it over to the *Selected Table Columns* and place it where you would like the email to appear within your report. You can choose to save the report now or at a later time, then click the *View Report* button.



Quick tip

You can access your saved reports from the Reporting dashboard, *Reports you created* section.

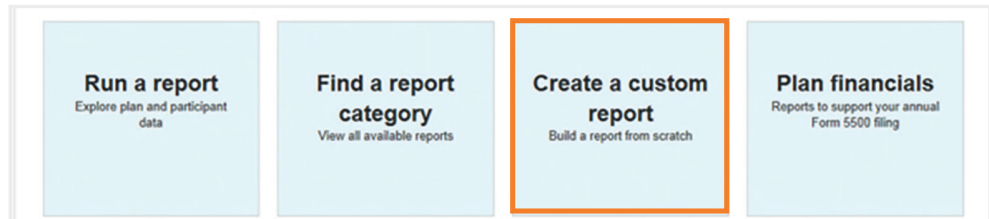
Step 5: If you are happy with the report, you can save it in order to run it again at a later time, or you can download it to work on the report offline.



Create your own report

You can create reports with exactly the data that you need. You decide what fields to include and how they appear in the report.

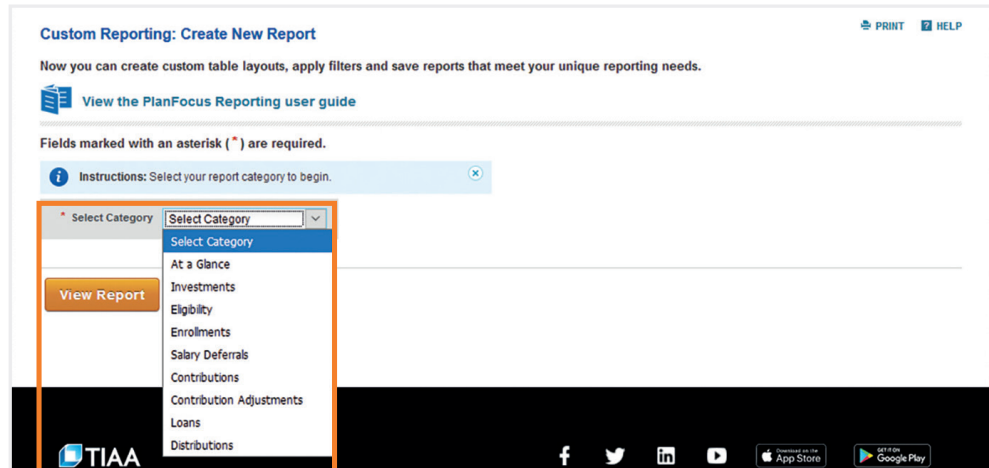
Step 1: Choose *Create a custom report* from the Reporting dashboard.



Quick tip

You will see the categories that you are entitled to access, which may include the ones shown here.

Step 2: Select your report category from the drop-down menu. Please note that by selecting the *At a Glance* category, you can build a report across multiple categories.

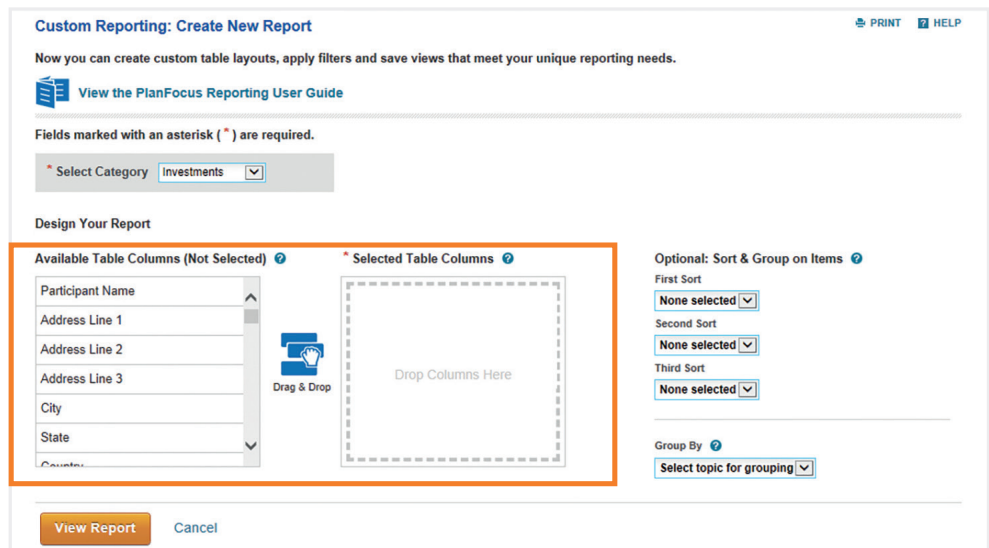


Quick tip

The fields in the *Available Table Columns* begin with the participant's name, address and email. The rest are in alphabetical order. Scroll up and down to see all the fields.

You can reorder the fields in the *Selected Table Columns* by dragging them up and down.

Step 3: Select the fields you want to include in the report. To add a field, drag it from the *Available Table Columns* to the *Selected Table Columns*. To remove a field from the report, click the x next to the field name in the *Selected Table Columns*.



Quick tips

Sorting

- Sorting options are based on the fields included in the report. You can choose up to three fields.
- You can choose one field for grouping information. The selected field will appear in the first column of the report.
- A preview of your sorted/grouped report is provided so you can review the format before proceeding.

Saving

- You can save up to 60 reports.
- If you don't save, the name of your report will be *Unsaved Report*.
- Once you save the report, you can use filters to dig deeper. [See page 11](#) for details.

Step 4: Decide if you want to sort or group the information in the report. If yes, choose the applicable options from the drop-down menus.

Step 5: Indicate if you want to save the report.

- If you want to save the report, select *Yes*, and enter the report name. If a report of the same name is already created, your report will save over the existing report. Enter a different name to keep your previous report. You can also enter a description of your report.
- If you don't want to save the report at this time, select *No*, and click *View Report*. After your report appears, you still have the ability to save it by clicking the *Save* button.

Custom Reporting: Create New Report PRINT HELP

Now you can create custom table layouts, apply filters and save views that meet your unique reporting needs.

[View the PlanFocus Reporting User Guide](#)

Fields marked with an asterisk (*) are required.

* Select Category Investments

Design Your Report

Available Table Columns (Not Selected)

- Transfer Out
- Transfer Source
- Transfer Type
- Vested (%)
- Vested Date
- Vested Status

Drag & Drop

*** Selected Table Columns**

1. Participant Name
2. Equities
3. Money Market
4. Fixed Income
5. Multi-asset
6. Guaranteed

CLEAR ALL x

Optional: Sort & Group on Items

First Sort None selected

Second Sort None selected

Third Sort None selected

Group By Select topic for grouping

Preview Layout

| PARTICIPANT NAME | EQUITIES | MONEY MARKET | FIXED INCOME | MULTI-ASSET | GUARANTEED | REAL ESTATE |
|------------------|----------|--------------|--------------|-------------|------------|-------------|
| Doe, John | \$100.00 | \$100.00 | \$100.00 | \$100.00 | \$100.00 | \$100.00 |

* Save report now?

Yes No

View Report
Cancel

Step 6: View your report. You can filter the information to dig deeper. [See page 11](#) for details. If you would like to have this report run on a regular basis, you can use the schedule feature, which will send you an email when the report is ready to be viewed. [See page 13](#) for details.

Quick tip

You can select more than one filter simultaneously. For example, if you are concerned about participants near retirement, you can filter a report by age and investment option to see information specific to that group.

If you do not see the *Refine results* column on the left side of the screen, click the *Show Filter* button on the left side of the screen.

To hide the *Refine results* column, click the *Hide Filter* button.

Quick tip

Available file formats include .csv or .pdf

Reports that are greater than 20,000 lines need to be run offline. You will receive an email alert and a notification in the For Your Attention section when they are available.

Filtering report information

You can use filters to refine the report results further.

The filters are listed on the left side column within the *Refine Results* section.

Please be sure to click *Update* to save your selections.

Downloading

You can download reports to share with others or to analyze further.

- Simply choose the *Download* button.
- Pick the file format.
- Click *Submit*.

| PLAN | PRODUCT | SOURCE | INVESTMENT | ASSET CLASS | AMOUNT |
|---|---------------|-------------------------|------------------|-------------|----------------|
| ABC ORGANIZATION 403(B) DEFINED CONTRIBUTION RETIREMENT PLAN - 111111 | GSRA CONTRACT | PRE 2007 ER BASIC/MATCH | TIAA TRADITIONAL | GUARANTEED | \$3,455,528.54 |
| ABC ORGANIZATION EMPLOYEE VOLUNTARY PLAN - 222222 | GSRA CONTRACT | EE PRE-TAX | TIAA TRADITIONAL | GUARANTEED | \$2,920,910.16 |
| ABC ORGANIZATION 403(B) DEFINED CONTRIBUTION RETIREMENT PLAN - 111111 | GSRA CONTRACT | ROLLOVER | TIAA TRADITIONAL | GUARANTEED | \$450,021.00 |

Sharing reports you created

Click the *Share* button and then choose one or more members of your organization to receive the report by selecting the box next to their name, clicking on the *Add* button and then clicking on the *Share* button.

The screenshot shows the 'Investments' reporting page. At the top, it displays 'Investments: Calendar Year-To-Date: 01/01/2021 - 09/30/2021' and 'PRINT HELP'. Below this is a navigation bar with tabs for 'At a Glance', 'Investments', 'Eligibility', 'Enrollments', 'Salary Deferrals', 'Contributions', 'Loans', and 'Distributions'. A 'Refine results:' sidebar on the left lists categories like 'Plans', 'Timeframe', 'Employment/ Participation Status', 'Demographics', 'Contract Type', and 'Investment Details'. The main content area includes a 'Select Report' dropdown set to 'My Reports' and another dropdown for 'Investments by Age Range'. There is a 'Quick Find' field with 'Enter Last Name' and a search icon. Below this, it shows 'Results 1-10 of 23', 'Results Per Page' set to 20, and 'Page 1 of 3'. A row of buttons includes 'Download', 'Customize', 'Share' (highlighted with an orange box), 'Save Current Filters', and 'Schedule Alerts'. A note at the bottom states: 'The information displayed below is based on your existing entitlements.'

The 'Share Report' dialog box is shown. It contains the text: 'Sharing this report gives others on your team access to view it. You'll only see people listed below with access to the same reporting data. Add or remove people from the list on the right to change your sharing options.' There are two main sections: 'Select People to View Report' and 'List of People Currently Viewing Report'. The 'Select People to View Report' section has a search bar and a list of names with checkboxes: 'Sponsor, Spencer', 'Anderson, Andrew', 'Blake, Betty', 'Central, Cindy', 'Central, Larry', 'Cohen, Chris', 'Dean, David', 'Fisher, Fiona', and 'Hines, Helen'. The 'List of People Currently Viewing Report' section is currently empty. Between the two lists are 'Add >' and '< Remove' buttons. At the bottom of the dialog are 'Cancel' and 'Share' buttons.

Scheduling alerts

Email alerts are an easy way to keep track of the reports you need to run regularly. On the date you specify, you'll receive a reminder email, and a message will appear in the *For Your Attention* section of the PlanFocus home page. You can schedule alerts for most reports, including ones created by TIAA or by you.

Simply select the *Schedule Alerts* button and then answer the questions to create or modify an alert.

The screenshot shows the 'Enrollments' report page. The 'Enrollments' tab is selected in the top navigation bar. On the left, there is a 'Refine results' sidebar with categories like Plans, Timeframe, and Demographics. The main content area has a 'Select Report' dropdown set to 'View Reports' and a 'Participant Enrollments Report' dropdown. Below this is a 'Quick Find' search box and a 'Results 1-11 of 11' indicator. At the bottom of the main content area, the 'Schedule Alerts' button is highlighted with an orange box.

The 'Schedule Alerts' dialog box is shown. It contains the following text: 'Set up recurring email alerts. You will be alerted on the same day, every month or quarter. If it falls on a weekend or holiday, you will receive the alert the next business day.' Below this, it says 'Fields marked with an asterisk (*) are required.' There is a label '* Alerts' followed by two buttons: 'ON' and 'OFF'. At the bottom right, there are 'Cancel' and 'Submit' buttons.

Quick tip

The maximum number of reports that can be saved is 60, so you may want to develop a formal process for reviewing and deleting outdated reports that you have previously created on a regular basis to ensure adequate space for current ones.

Deleting reports you created

Click on the *Delete* link from the *Actions* drop-down menu of the report you have created.

The screenshot shows the 'Custom Reporting' page. It has a table with the following columns: REPORT NAME, REPORT DESCRIPTION, CATEGORY, DATE CREATED, LAST RUN DATE, TYPE, ALERTS, and ACTIONS. There are two rows of reports. The first row is 'Investments By Age' and the second is 'Enrollments by Age Range'. The 'ACTIONS' column for the first row is expanded, showing a dropdown menu with 'Delete', 'Share', and 'Manage Alerts' options. The 'Delete' option is highlighted with an orange box.

| REPORT NAME | REPORT DESCRIPTION | CATEGORY | DATE CREATED | LAST RUN DATE | TYPE | ALERTS | ACTIONS |
|--------------------------|--|-------------|--------------|---------------|---------|--------|---|
| Investments By Age | Shows investments by age range for Plans 111111 and 222222 | Investments | 04/15/2019 | 04/22/2019 | Private | ON | ACTIONS ▾ Delete Share Manage Alerts |
| Enrollments by Age Range | Shows enrollments by age range for Plans 111111 and 222222 | Enrollments | 04/19/2019 | 04/22/2019 | Private | ON | |

Questions?



**Go to PlanFocus 101
under the
Resources tab.**



**Contact your
TIAA representative.**



**Call the Administrator
Telephone Center at
888-842-7782, weekdays,
8 a.m. to 8 p.m. (ET).**



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