

## Guide for Current Plan Year Takeover

### Administration Transitioned During Plan Year

Aptia takes great pride in providing superior service, and we look forward to working with you. We understand plan year takeovers can be challenging for employers and participants. In an effort to guide you through this process, we are providing the following checklist to track your progress and ensure a successful plan setup. After all steps below have been completed, please return a signed copy to your Aptia team.

Employer completes Plan Requirements Document and has a conference call with Aptia Benefits Implementation Manager.

Employer provides termination notification to former Third Party Administrator (TPA).

#### Questions to keep in mind when notifying the former TPA:

- When does the former TPA require notification of plan termination?
- Does this notification need to be in writing?
- Who will be notifying the TPA?

Employer determines a date for the former TPA to stop processing claims.

#### Questions to keep in mind when selecting a date:

- Is it more convenient to stop processing at the end of a payroll cycle, end of a month/week, etc.?
- If applicable, when will the debit cards be turned off (start of business day, end of business day, midnight, etc.)?

Employer communicates black-out period to participants. Feel free to use the customizable black-out letter.

- The black-out period will begin the day after the stop-processing date above and will end once the Aptia plan setup is complete and year-to-date (YTD) balances are confirmed by the employer. **Note:** Aptia's black-out period will last 10-12 business days. The black-out period, in its entirety, will likely be longer and depend on 1) how long the former TPA will need to reconcile the data and 2) how long it will take for the employer to provide data to Aptia. Once the black-out period is complete, claims may be submitted to Aptia by participants.

A transfer date is determined by the employer and Aptia. The transfer date is the date Aptia assumes administration of the plan. This is typically the day after your former TPA stops processing claims.

Employer requests YTD data from former TPA and provides to Aptia.

#### Questions to consider:

- How long will it take the former TPA to reconcile and provide the YTD paid claims and deductions once claim processing has ceased?
- Once confirmed, how long will it take the employer to compile the data on the Aptia mid-year file?
- Who will be compiling the data (i.e. employer, consultant, broker, former TPA)?

### Next Steps

1. Upon submission of the plan requirements document, benefits design guide, ACH Agreement or reserve (whichever applies) and mid-year file, Aptia will complete plan setup within 10-12 business days. **Note:** Debit cards will begin to generate during this process.
2. Aptia will email the Account Balance Detail Report to the employer for approval. Once approval is received, the black-out period will end by the end of the following business day and claims processing for the plan year will begin. **Note:** It is important that the Account Balance Report be reviewed in a timely manner, as debit cards will be mailed to participants during this time, and they will be active.
3. Portal access will be provided and the ability to upload Contribution Files will become available for the employer.

Signature

Date