

STEP-BY-STEP GUIDE: YEAR END DATA COLLECTION



Table of Contents

[Click on the title to automatically go to the desired section](#)

Accessing the Secure Portal (also known as Plan Sponsor Link)	2
Logging In	3
Online Data Collection	4
Step 1: Company Contact Information	5
Step 2: Employer Company Data	6
Step 3: Principals	7
Step 4: Family Relationships	8
Step 5: Other Businesses Owned	9
Step 6: Contacts	10
Step 7: Annual Employer Questionnaire	11
Step 8: 5500 Questionnaire	12
Step 9: Employee Census	13
1. Manual Entry	13
2. File Import	14
Census Validation for Manual Entry and File Import	15
Some Common Issues:	15
Census Field Descriptions	16
Step 10: Approval and Census Submission	17
Summary of Data Collection	18

Accessing the Secure Portal (also known as Plan Sponsor Link)

- Visit our website at www.greatlakespension.com and select **Plan Sponsor Login**



The screenshot shows the homepage of Great Lakes Pension Associates, Inc. The top navigation bar is dark blue with the phone number (248) 553-8070 on the left and a green oval button labeled "PLAN SPONSOR LOGIN" on the right. Below this is a white header with the company logo on the left and a navigation menu with links: HOME, OUR COMPANY, SERVICES, RELATIONSHIPS, RESOURCES, and CONTACT. The main content area features a large background image of a lake with a rocky shore. Overlaid on the left is a circular emblem with a laurel wreath and the text "40 YEARS". To the right of the emblem, the text "Helping clients succeed" is displayed. At the bottom of the image is a white banner with the text "INSIST ON A CEFEX CERTIFIED TPA".

(248) 553-8070

PLAN SPONSOR LOGIN

GREAT LAKES
Pension Associates, Inc.

HOME OUR COMPANY SERVICES RELATIONSHIPS RESOURCES CONTACT

40 YEARS

Helping clients succeed

INSIST ON A CEFEX CERTIFIED TPA

Logging In

- Your Username is your email address
- If you are a new user, select the First time user link, enter your email address and a temporary password will be emailed to you from admin@plansponsorlink.com

GREAT LAKES
Pension Associates, Inc.

Username

Password

☒ Remember My Username

[Sign In](#)

[Forgot password?](#)

[First time user?](#)

If you need to reset your password, please make sure the following email address is not blocked by your spam filter: admin@plansponsorlink.com

[Need Help using PlanSponsorLink?](#)

Online Data Collection

To begin the Year End Data Collection, select the “Begin Task” button

27 My Active Tasks

Data Collection

Document

Secure File Exchange


Industry Bulletins

My Active Tasks

Your list of task items



[-] Collapse All

▼ ABC Sample 401(k) Plan (1)

	Name	Active Date	
	Year End Data Collection 1/1/2019 to 12/31/2019	12/12/2019	Begin Task

Step 1: Company Contact Information

Review the address(es) and Phone Number(s) listed.

- To edit the information listed, use the Edit button 
- To add an additional address or phone number, use Add button 

When you have finished, select “Save”

Task Year End Data Collection 01/01/2019 to 12/31/2019 for ABC Sample 401(k) Plan

Steps:





Step 1: Company Contact Information

Notes [0] Save

Please review the Address and Contact Numbers below. Please add any new information by clicking the + button, or update existing information by clicking the paper and pencil icon. When you have completed your changes, click the Save button to continue.

Addresses

Type	Address	
Physical Address	37923 W. 12 Mile, Farmington Hills, MI 48331	 

Contact Numbers

Type	Number	
Phone Number	(248) 553-8070	 

Save

Step 2: Employer Company Data

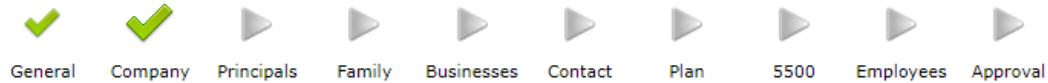
Carefully review and edit, if necessary, the information listed.

- If there has been a change to the EIN or entity type, please add a Note regarding the date this change was effective.

When you have finished, select “Save”

Task Year End Data Collection 01/01/2019 to 12/31/2019 for ABC Sample 401(k) Plan

Steps:



Step 2: Employer Company Data

Notes [0] Save

Please review the Employer Data below and complete or update existing information as necessary. If the company name that is listed has changed, please add a Note with the updated information. When you have completed your changes, click the Save button to continue.

Company Name : **ABC Sample Company**

EIN

Fiscal Year End* /

Entity Type* ▼

NAIC Code [Click here to search for your NAICS code.](#)

Payroll Provider

Payroll Frequency* ▼

Save

Step 3: Principals


Carefully review and edit, if necessary, the owner and officer information listed.


- To edit the information listed for the individual, use the Edit button
- To delete a Principal, use the Delete button
- To add a Principal, use the Add button
- The total ownership percentage must be equal to 100%
- If you're a non-profit organization, make one entry using your Company Name, No Title and 100% for Ownership.
- **Be sure to include all individuals with Officer authority, even if they have no ownership. Employees with an Officer title, but no authority should not be included here.**


When you have finished, select "Save"


Task Year End Data Collection 01/01/2019 to 12/31/2019 for ABC Sample 401(k) Plan


Steps:


 General


 Company


 Principals


 Family


 Businesses

 Contact

 Plan

 5500

 Employees

 Approval

Step 3: Principals

Notes [0] Save

Please complete the list of owners and/or officers in your firm. Be sure to include all individuals with Officer authority, even if they have no ownership. Employees with an Officer title, but no authority should not be included here. If you're a non-profit organization please make one entry using your Company Name, No Title and 100% for ownership. The ownership percentage total will need to equal 100%. When you have completed your changes, click the Save button to continue.

For detailed instructions on how to complete the Principals Tab [Click Here](#) and refer to page 7.

Name	Title	Officer	Ownership		
Jane Doe	President	Yes	50.00%	Edit	Delete
John Doe	Vice-President	Yes	50.00%	Edit	Delete
Mike Smith	CFO	No	0.00%	Edit	Delete
			100.00%		

Save











Step 4: Family Relationships

Carefully review and edit, if necessary, the information listed.

- To edit the information listed, use the Edit button
- To delete a record, use the Delete button
- To add a record, use the Add button
- Be sure to **include all relatives of the Owner(s) (who are employees of the Company)**
- If a step-child has been legally adopted, select Child as the Relationship from the drop-down menu

When you have finished, select “Save”

Task Year End Data Collection 01/01/2019 to 12/31/2019 for ABC Sample 401(k) Plan

Steps:  General  Company  Principals  Family  Businesses  Contact  Plan  5500  Employees  Approval

Step 4: Family Relationships Notes [0] Save

Does your company employ any family members of owners of your firm? When you have entered all of your information, click the Save button.

For detailed instructions on how to complete the Family Relationship Tab [Click Here](#) and refer to page 8.

Name	Relationship	Related To		
Gary Smith	Child	Mike Smith	Edit	Delete
Jane Doe	Spouse	John Doe	Edit	Delete
Sarah Smith	Spouse	Mike Smith	Edit	Delete

Save

Step 5: Other Businesses Owned

Carefully review and edit, if necessary, the information listed.

- To edit the information listed, use the Edit button
- To delete a business, use the Delete button
- To add a business, use the Add button
- Include all other ownership interests of the Owner(s) and Officer(s)
- Owners must be added individually after the business information is added
- Qualified Plan Sponsored? – select “yes” if the other Company sponsors a Retirement Plan
- Does Company have employees? – select “yes” if other Company has non-owner employees
- If the company sponsoring this plan is owned by a foreign parent company, add any other U.S. entities also owned by the foreign parent company

When you have finished, select “Save”

Task Year End Data Collection 01/01/2019 to 12/31/2019 for ABC Sample 401(k) Plan

Steps: General Company Principals Family Businesses Contact Plan 5500 Employees Approval

Step 5: Other Businesses Owned Notes [0] Save

Do any of the **Stockholders, Partners or Proprietors, or their Spouses, Minor Children, or Minor Children by means of an ex-spouse owning a business**, own any direct or indirect interest in other businesses? If yes, please complete below. Note: ownership should equal 100%. When you have completed your changes, click the Save button to continue.

For detailed instructions on how to complete the Other Businesses Owned Tab [Click Here](#) and refer to page 9.

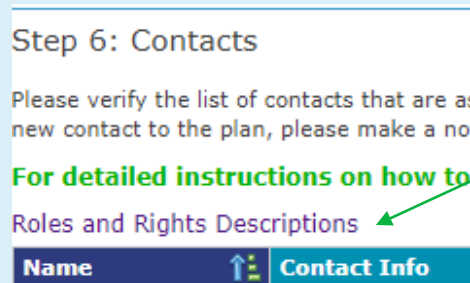
Name	EIN	Phone	Date Purchased Or Sold	Plan Sponsor	Entity Type	Address	Employees	Owners													
XYZ Corporation	38-8888888	(248) 553-8070	01/01/1999	Yes	S-Corporation	1234 Maple Rd. Farmington Hills, MI 48331	No	<table><thead><tr><th>Name</th><th>Ownership %</th><th></th></tr></thead><tbody><tr><td>John Doe</td><td>55.00%</td><td><div>EditDelete</div></td></tr><tr><td>Mike Smith</td><td>45.00%</td><td><div>EditDelete</div></td></tr><tr><td></td><td>100.00%</td><td></td></tr></tbody></table>	Name	Ownership %		John Doe	55.00%	<div>EditDelete</div>	Mike Smith	45.00%	<div>EditDelete</div>		100.00%		<div>Add</div> <div>EditDelete</div>
Name	Ownership %																				
John Doe	55.00%	<div>EditDelete</div>																			
Mike Smith	45.00%	<div>EditDelete</div>																			
	100.00%																				

Save

Step 6: Contacts

Review the contacts listed for your Plan.

- A description of the Roles and Rights can be found by clicking the Descriptions link



- You cannot edit the information on this screen. If you need to remove a contact, or edit the Roles/Rights of a contact, click the Add button to submit a Contact Change Request. Your consultant will then update this information once you submit the data.

Name	Contact Info	Roles	Rights	Contact Change Requests
Michelle Miller	Company: Great Lakes Pension Associates, Inc. Email: mmiller@greatlakespension.com Phone Number: (248) 553-8070 ext. 109	Accountant	Add/Edit/Delete Fiduciary Documents, Administrative Forms, Approval, Businesses, Contacts, Distribution, Document Collection, Employee Census, Employer Census, General Web Collection, Plan Documents, Principals, Reports, View Fiduciary Documents	Add [0]

- If you need to add a plan contact, click the Notes button add a note with their name. We will contact you for further details.

Step 7: Annual Employer Questionnaire

Read each question carefully and enter your answers into the fields to the right of each question using either the drop-down choices or entering an answer in the text box. You can save your place at any time by clicking on the “Save” button. **Step 7 will not be marked as completed until all the questions have been answered.**

Task Year End Data Collection 01/01/2019 to 12/31/2019 for ABC Sample 401(k) Plan

Steps:



Step 7: Annual Employer Questionnaire

Notes [0]

Save

Please provide answers to the list of questions below. You may need to use the Notes button in the upper right corner of the screen. If you are adding a note, please reference the corresponding question number. Click the Save button to save your answers and to continue to the next step.

* - required field

1. Are there any parties that own the option to purchase stock in this Company? (They are considered to own that stock if they have the option to purchase the stock). If yes, please list in notes. *
2. Do you have any employees who have the title of officer, but do not have the authority of an officer? (They are not included as a Key Employee for Top Heavy Testing). If yes, please add note. *

Step 8: 5500 Questionnaire

This is a list of questions that need to be answered regarding this year's Form 5500 Filing. Read each question carefully and enter your answers into the fields to the right of each question. You can save your place at any time by clicking on the "Save" button. **Step 8 will not be marked complete until all the questions have been answered.**

Task Year End Data Collection 01/01/2019 to 12/31/2019 for ABC Sample 401(k) Plan

Steps:



Step 8: 5500 Questionnaire

Notes [0]

Save

Please provide answers to the list of questions below. Click the Save button to save your answers and to continue to the next step.

* - required field

1. Did the plan hold any assets whose current value was neither readily determinable on an established market nor set by an independent third party appraiser? If yes, please provide details under the note section. *
2. The Department of Labor and IRS require you to transmit employee 401(k) deferrals and loan repayments to the Plan as soon as the funds can reasonably be segregated from the Employer's assets. Upon audit, the DOL will generally apply a transmittal deadline of 0 business days following the payroll period. The DOL has finalized a safe harbor for Plans with less than 100 participants. The safe harbor will be satisfied if all employee 401(k) deferrals and loan repayments are deposited into

Step 9: Employee Census

Employee census information must be provided for all employees (even those not eligible to participate during the year).

There are two options for completing the Employee Census: **Manual Entry** or **File Import**

1. Manual Entry

- Employee census is individually modified by selecting the Edit button icon to the right of each employee.
- To add a new employee, select the Add button.
- Detailed information regarding the requested fields can be viewed by selecting **“Field Descriptions”** (also provided below)
- When you have finished entering the employee data, select **“View Summary”** to verify the compensation and contribution totals match to your gross payroll report totals. On the next step (Approval) you will be asked to provide a copy of the totals pages from your gross payroll report.

Task Year End Data Collection 01/01/2019 to 12/31/2019 for ABC Sample 401(k) Plan

Steps: General Company Principals Family Businesses Contact Plan 5500 Employees Approval

Step 9: Employee Census Notes [0] Save

Please enter or import your employee census data using the tools below. If you export the census spreadsheet, please make changes and import the spreadsheet back in prior to completing the approval step. When you are satisfied that all of the data is correct, click the Save button to continue. Please include all employees who received wages during the plan year even if they were not eligible to participate in the Plan. Click on the Field Description link for an explanation of data needed.

or detailed instructions on how to submit the census data [Click Here](#) and refer to pages 14-17.

Import Export Search: Search Clear View Summary Field Descriptions Add Delete

SSN	First Name ↑	Last Name ↑	Gender	Date of Birth	Original Date of Hire	Date of Termination	Date of Rehire	Gross Comp
123-45-6789	Sally	Doe	Female	01/01/1970	01/01/2015			

Edit Delete

1 - 1 of 1 items

Save

2. File Import

- Export the census provided by using the **Export** function located on the gray tool bar (you can export the file as Excel .xls or .xlsx). Save the exported spreadsheet to your computer, modify the census data in the spreadsheet, add any new employees after the last row of employee data. Verify the compensation and contribution totals on the spreadsheet match to your gross payroll report totals and then **Import** the file back into the online system.
- You can also import a spreadsheet from your payroll files. **You will need to make sure the sheet is named "Employees"**. When importing you will be asked to match up your column headings to the system column headings.
- Spreadsheets containing **formulas in any cell will not import**. In order to remove formulas from your spreadsheet: Highlight all cells in your spreadsheet, Ctrl C to copy, right click and Paste Special (Values)

Task Year End Data Collection 01/01/2019 to 12/31/2019 for ABC Sample 401(k) Plan

Steps: General Company Principals Family Businesses Contact Plan 5500 Employees Approval

Step 9: Employee Census Notes [0] Save

Please enter or import your employee census data using the tools below. If you export the census spreadsheet, please make changes and import the spreadsheet back in prior to completing the approval step. When you are satisfied that all of the data is correct, click the Save button to continue. Please include all employees who received wages during the plan year even if they were not eligible to participate in the Plan. Click on the Field Description link for an explanation of data needed.

For detailed instructions on how to submit the census data [Click Here](#) and refer to pages 14-17.

Import Export Search: Search Clear View Summary Field Descriptions Add Delete

SSN	First Name ↑	Last Name ↑	Gender	Date of Birth	Original Date of Hire	Date of Termination	Date of Rehire	Gross Comp	
123-45-6789	Sally	Doe	Female	01/01/1970	01/01/2015				Edit Delete

1 10 items per page 1 - 1 of 1 items

Save

Census Validation for Manual Entry and File Import

When you save the census data, you will receive a warning or error message if there are issues detected. Review the issues, edit the census information, and select “Save”.

Issues have been detected in the employee census records. [Click to view the issues](#)

Some Common Issues:

- Employees missing hours worked. See field descriptions below
- Employees missing compensation – Compensation must be provided for all employees. If the employee is an owner and receives a Schedule C or K-1, enter \$1 for the compensation field and attach the Schedule C or K-1
- 401(k) Plans Only - In most cases, at least one employee will have deferrals. Please make sure you have entered the dollar amount of actual 401(k) deferrals for each employee
- **Spreadsheets containing formulas in any cell will not import. In order to remove formulas from your spreadsheet: Highlight all cells in your spreadsheet, Ctrl C to copy, right click and Paste Special (Values)**

Census Field Descriptions

Employee Census Field Descriptions

Close

Display Name	Format	Description
SSN	123-45-6789 or 123456789	Enter the employee's Social Security number
First Name	Text characters	Enter the employee's first name
Last Name	Text characters	Enter the employee's last name and any suffix (Jr., Sr., etc)
Gender	Male or Female	Choose Male (M) or Female (F) from the dropdown list
Date of Birth	MM/DD/YYYY	Enter the employees date of birth, or use the calendar picker to select the correct date
Original Date of Hire	MM/DD/YYYY	Enter the employees original date of hire, or use the calendar picker to select the correct date
Date of Termination	MM/DD/YYYY	Enter the employees date of separation, or use the calendar picker to select the correct date
Termination Reason	Text field	Termination Reason - vountary (quit) or in-voluntary (laid off or fired)
Date of Rehire	MM/DD/YYYY	Enter the employees date of rehire, or use the calendar picker to select the correct date
Gross Compensation	Number Field (#####.##) or (#,###.##)	Gross compensation including pre-tax deferrals (401(k), 403(b), 457(b), SEP and 125 Cafeteria). Include any non-severance compensation (i.e. accrued sick pay, vacation pay, holiday pay, etc.) following termination of employment. However, exclude true severance pay in this field and enter in field titled "Severance Pay"
Hours	Number Field (####)	For employees that worked 1000 hours or more in the plan year, enter 1000. For employees with less than 1000 hours, enter actual hours worked
Pre-Tax 401(k) Salary Deferral	Number Field (#####.##) or (#,###.##)	Enter the salary deferral amount shown in Box 12a of Form W-2 for codes D, E or G
Roth 401(k) Salary Deferral	Number Field (#####.##) or (#,###.##)	Enter the salary deferral amount shown in Box 12a of Form W-2 for codes AA or BB
Safe Harbor Deposited per Payroll-enter total YTD	Number Field (#####.##) or (#,###.##)	For plans that contribute safe harbor contributions during the year, please enter the amount contributed.
Job Classification	Text characters	Your plan may exclude certain classes of employees or allocate contributions to different classes of employees. If your plan does not utilize this information, this field can be left blank.
Company Division	Text characters	If you track a location for employees, please add here. Divisions can be any combination of letters and/or numbers
Union Employee	Checkbox	Check the box to mark the employee as a union member
Active Military	Checkbox	Check the box to mark the employee as actively serving in the military
Severance Compensation	Number Field (#####.##) or (#,###.##)	Payments of compensation made to an employee following their severance of employment which are paid under the terms of a severance agreement. These amounts are not included in the Plan's definition of compensation.
Note	Text characters	Enter a note

Step 10: Approval and Census Submission

Approval and Census Submission is the final step in the process!

- Documents – Please upload a copy of the totals page from your Year-End Gross Wage/Payroll report. If there are additional items you would like to submit, attach them here as well.
- Notes – add any additional notes necessary.
- Review your information before clicking on the Sign and Submit button to complete the process. If a prior step is incomplete, you will get an error message to go back and complete information.
- Once you click “Sign and Submit” you will be asked to enter your name and email address. You will then receive an email from admin@plansponsorlink.com confirming that your submission is complete.

Task Year End Data Collection 01/01/2017 to 12/31/2017 for ABC Sample 401(k) Plan

Steps: General Company Principals Family Businesses Contact Plan 5500 Employees Approval

Step 10: Approval & Census Submission

Year-End Gross Wage Report: Please reconcile gross wages provided on your census submission with the year-end gross wage report from your payroll records. **Provide a copy of the totals page(s) from your gross wage (payroll) report by selecting the green plus button under the Documents section below and attaching the file.**

The Plan Administration process can not begin until census information reconciles to the Gross Wage Report provided. If there are discrepancies between the gross wages provided on the census and the gross wages on the payroll report, please make a note under the Notes section below indicating the reason for the difference.

General
 Company
 Principals
 Family
 Businesses
 Contact
 Plan
 5500
 Employees

PLEASE READ CAREFULLY BEFORE SUBMITTING YOUR CENSUS COLLECTION

Please review the information you are about to submit. This information will be used in processing your retirement plan's compliance reports and in satisfying the reporting and disclosure requirements of the Department of Labor. ~~If you have any questions, or need additional assistance, please contact your Consultant by clicking on the contact button at the top right hand corner of your screen.~~

Documents

Name	Type	Description	
Gross Payroll Report.docx	Payroll Report (Totals)		

Notes

Note	Date	Created By	
No Items found			

Sign and Submit

Summary of Data Collection

After you have completed the Year End Data Collection process, it will be removed from your My Active Tasks Dashboard and appear on the Data Collection Tab. To review the data you submitted, click on the Report button to open a file containing the submitted information.

▼ ABC Sample 401(k) Plan (1)					
	Name	Period Start	Period End	Completed	
	Year End Data Collection	01/01/2019	12/31/2019	01/22/2020	Report

Thank you for completing the online Data Submission!