How to Review, Return for Edit, Certify and Submit a Filing

My Plan Administration Account (My PAA)

Last Updated: May 06, 2024

PBGC Pension Benefit Guaranty Corporation

- Filing Certification and Approval Process

  - Once the filing has been completed by the Filing Preparer, the Actuary (if applicable), Payment Preparer and Plan Admin/Plan Admin Rep must certify, approve and submit the filing to the PBGC.
    - Actuary: If there is Variable-Rate Premium (VRP) data supplied, they will need to certify that the information being reported in the VRP section of the filing is accurate.
    - Payment Preparer: They can submit ACH payment information through My PAA or select that the payment is being made outside of My PAA.
    - Plan Admin/Plan Admin Rep: They will review the information provided by the Filing Preparer, Actuary (if applicable), and Payment Preparer. Once the information has been reviewed and validated, then the Plan Admin or Plan Admin Rep will approve and submit the filing to the PBGC.
    - Note: Once the filing has been submitted by the Plan Admin/Plan Admin Rep, if the Payment Preparer submitted premium payment information via My PAA, the funds will be debited from the plan's account.

- Flow of Certification and Approval Process

Draft Status → Actuary Approval *if VRP data* → Payment Info → Plan Admin Approval → Submit Filing

2

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Index

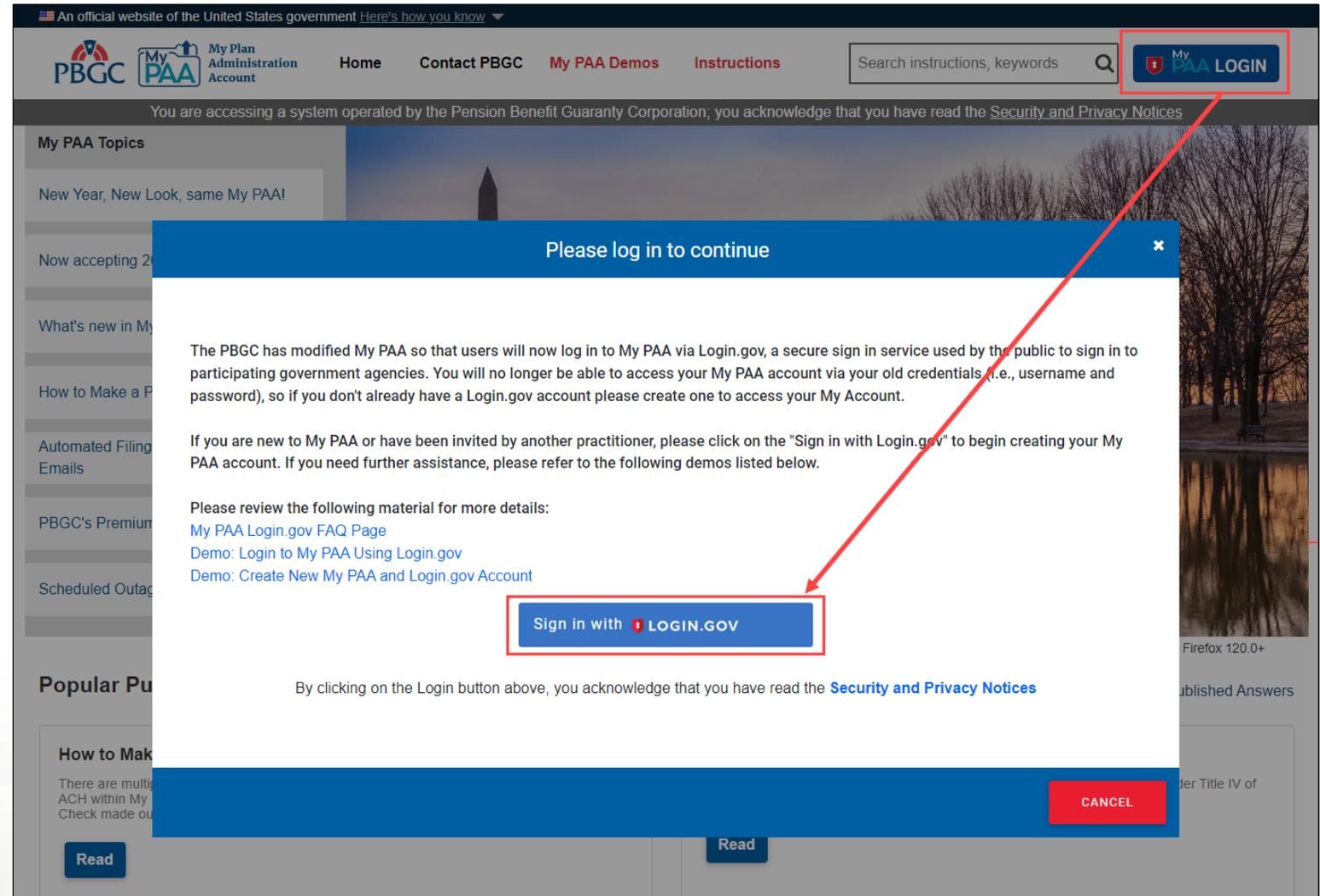| Action	Slide(s)
Route Filing as Filing Preparer (i.e., in "Draft" status)	8-9
Review Filing/Edit Draft as Filing Preparer	10
Return for Edit as Actuary	11-13
Certify & Route as Actuary	11-12, 14-15
Certify & Route as Payment Preparer	16-17
Return for Edit as Plan Admin/Plan Admin Rep	18-20
Certify & Submit Filing as Plan Admin/Plan Admin Rep	18-19, 21-23
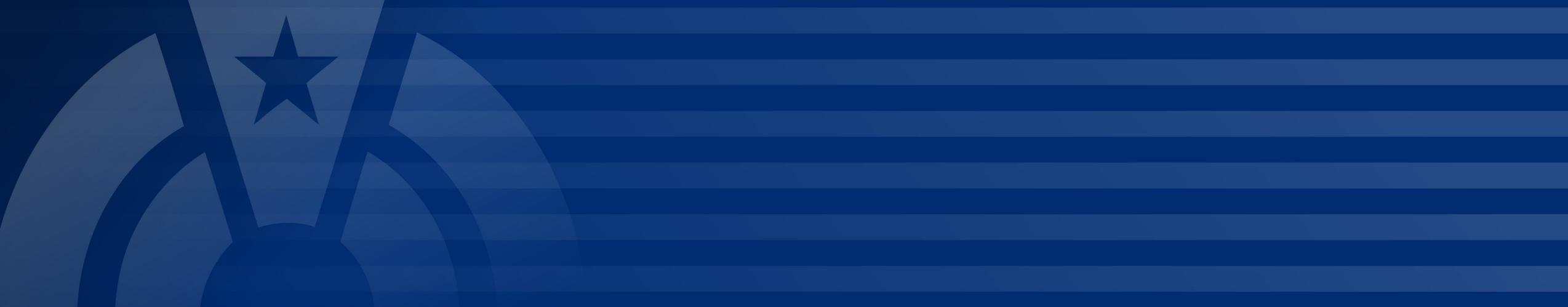
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Step-by-Step Instructions

Login

- From the Home Page, click on the "My PAA Login" button to log in.

- You will need to log in to your Login.gov account to access your My PAA account.

  - For more details and step-by-step instructions on how to access your My PAA account via Login.gov please view PBGC's How to Log in to My PAA Using Login.gov? Published Answer.

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Route, Review, Return for Edit, Certify and Submit a Filing

Plan List Page

- Once you have logged in, click on the "Plan List" icon or link from the Home Page.

- From the Plan List Page, click on the "View Plan Details" link (once you hover over the plan name) for the plan you would like to route, review, return for edit, certify and/or submit a filing for.

  ★ You can also click on the "View Filing Details" link (once you hover over the "Latest Filing ID" number displayed) if that is the filing you wish to perform an action on. Then it will redirect you to the Filing Details Page.

Plan Details Page

- After you have selected the appropriate plan, review all the associated filing(s) in the Premium Filings section.

- Once you have identified the appropriate filing, click on the "FILING DETAILS" button for that filing.

- It is important to note that you may only route, return for edit, certify, and/or submit a filing that is not in "Submitted" status.

  - Please ensure you also have the appropriate role(s) to proceed with the corresponding action. See the "How to Manage Roles" Published Answer for further details.

Route as Filing Preparer

- Upon completion of the draft filing, you will have to select the checkbox to certify the information on the filing is accurate, and that you wish to proceed with the filing certifications.

- A list of filing team members with roles that correspond with the next filing status will appear.

  - Filings with variable-rate premium (VRP) information will display associated Actuaries

  - Filings without VRP information will display associated Payment Preparers.

  - Filings without VRP information or Premium Amount due will display associated Plan Administrators and Plan Administrators Reps, and you can select/deselect members

- Any filing team member that is selected will receive an automated email from My PAA indicating that their action is required on the associated filing.

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Certify / Return for Edit as Enrolled Actuary

- If there is any Variable-rate Premium (VRP) data in the filing (excluding VRP exemptions), an Actuary must certify that the information provided in the section of the filing is accurate.

- From the Filing Details Page, for a filing in "Pending Actuary Approval" status, click on the "CERTIFY / RETURN FOR EDIT" button.

  - Please ensure you have the Actuary role for this plan to proceed with certifying or returning the filing for edits. See the "How to Manage Roles" Published Answer for further details.

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Route as Filing Preparer (cont.)

- Any user that does not have a checkbox selected next to their name and email address will not receive the filing notification.

  - Users are not required to select any/all of the filing team members listed.

  - If you have a role associated with the next filing action, then you may select your contact row and send a notification to yourself.

  - Any member with a greyed out checkbox cannot be selected, as they have opted out of filing email notifications.

    - For more information about disabling email notifications, please refer to the "Disable Automated Filing Status Emails" Published Answer.

Next Filing Status After Proceeding to Certifications: *Pending Actuary Approval*

The list of filing team members below have the Actuary role needed for the next action for this filing. Please select who you would like to notify. Team members with a greyed out checkbox cannot be selected, as they have opted out of filing email notifications. For information about disabling email notifications, please refer to the knowledge article *"Disable Automated Filing Status Emails"*.

Notify?	First Name	Last Name	Email Address
☐	PBGC	EXAMPLE	pbgcexample@pbgc.gov
	TEST	TEST	invalid.invalid@pbgc.gov.testing
☐	TEAM	MEMBER	pbgc_39907@pbgc.com.invalid

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Edit Draft

- As long as the filing has not been submitted to PBGC, on the Plan Details Page, any filing team member with the Filing Preparer role can edit the data on the Comprehensive Premium Filing by clicking the orange "EDIT DRAFT" button.

  - It is important to note that once the filing returns to "Draft" status, any previous certifications or payment information provided will need to be completed again prior to submission.

    - For more information and step-by-step guidance, please view the "How to Edit/Delete a Filing" demo.

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Certify / Return for Edit as Enrolled Actuary

- After clicking on the "CERTIFY / RETURN FOR EDIT" button, the VRP details, as entered on the Comprehensive Premium Filing, will appear in a pop-up window.

  - If the Actuary finds the VRP data is incorrect and must be returned to the Filing Preparer for edits, then click on the "RETURN FOR EDIT" (continue to slide 13 for more details).

  - If the Actuary considers the information to be correct, click on the blue "CERTIFY" button (continue to slide 14 for more details).

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Return for Edit as Enrolled Actuary

- If the Actuary wants to return the filing back to the Filing Preparer for updates, they will click on the red "RETURN FOR EDIT" button, and then a Return for Reason text field will appear.

- The Actuary must enter a brief description indicating why the filing is being returned for edit and then click the blue "SAVE DECISION" button.

- The filing's status will be updated back to "Draft," so that the Filing Preparer can make the necessary changes.

- If you selected the "RETURN FOR EDIT" button by mistake and you want to certify the filing, simply unselect the "RETURN FOR EDIT" button and you will be able to select the "CERTIFY" button.

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Certify as Enrolled Actuary

- If the Actuary wants to certify the filing they will click on the green "CERTIFY" button, and then additional fields will appear.

- All additional fields are required to continue with the Actuary certification:

  - Enrollment Number

  - Firm Name

  - Secret Answer to the Secret Question

  - The Certification Statement checkbox must be selected.

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Route as Enrolled Actuary

- Below the certify section, a list of filing team members with roles that correspond with the next filing status will appear.
  - Filings with a Premium Amount due will display associated Payment Preparers.
  - Filings without a Premium Amount due will display associated Plan Administrators and Plan Administrators Reps.

- Any filing team member that is selected will receive an automated email from My PAA indicating that their action is required on the associated filing.

- Any user that does not have a checkbox selected next to their name and email address will not receive the filing notification.
  - Users are not required to select any/all of the filing team members listed.
  - If you have a role associated with the next filing action, then you may select your contact row and send a notification to yourself.
  - Any member without a checkbox cannot be selected, as they have opted out of filing email notifications.
    - For more information about disabling email notifications, please refer to the "Disable Automated Filing Status Emails" Published Answer.

Next Filing Status after Actuary Certification: Pending Payment Info

The list of filing team members below have the Payment Preparer role needed for the next action for this filing. Please select who you would like to notify. Team members without a checkbox cannot be selected, as they have opted out of filing email notifications. For information about disabling email notifications, please refer to the knowledge article Disable Automated Filing Status Emails

Notify Payment Preparers

	Select All	Name	Email
☑		TEAM MEMBER	pbgc_39907@pbgc.com.invalid
☐		TEST TEST	invalid.invalid@pbgc.gov.testing
☑		PBGC EXAMPLE	testing.testing@pbgc.gov

SAVE DECISION   CANCEL

15

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Route as Enrolled Actuary

- Once the Certify section has been completed, and the appropriate filing team members have been selected for notification, then you will click on the "SAVE DECISION" button.

- The filing's status will be updated to either "Pending Payment Info" or "Pending Admin Approval" depending on filing information.

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Select Payment Method

- If there is a premium amount due, a Payment Preparer must select the appropriate payment method before proceeding with the Plan Admin certification and submission of the filing.

- From the Filing Details Page, for a filing in "Pending Payment Info" status, click on the "SELECT PAYMENT OPTION" button.

  - Please ensure you have the Payment Preparer role for this plan to proceed with certifying or returning the filing for edits. See the "How to Manage Roles" Published Answer for further details.

  - For step-by-step instruction and guidance on how to submit a premium payment please view the "How To Submit a Payment to PBGC" demo.

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Route Filing as Payment Preparer Select Pay Outside Method

- After you select "Pay Outside My PAA" and click the "Next" button, a list of Plan Administrators (PA) and Plan Administrator Reps will appear.

- Any PA/PA Reps that are selected will receive an automated email from My PAA indicating that their action is required on the associated filing upon clicking the "Submit" button.

- Any user that does not have a checkbox selected next to their name and email address will not receive the filing notification.

  - Users are not required to select any/all of the filing team members listed.

  - If you have a role associated with the next filing action, then you may select your contact row and send a notification to yourself.

  - Any member without checkbox cannot be selected, as they have opted out of filing email notifications.

    - For more information about disabling email notifications, please refer to the "Disable Automated Filing Status Emails" Published Answer.

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Route Filing as Payment Preparer
Select Pay Within Method

- After you select "Pay Within My PAA," enter the payment information and click the "Next" button, the payment summary page will appear, and a list of Plan Administrators (PA) and Plan Administrator Reps will show at the bottom of the page.

- Any PA/PA Reps that are selected will receive an automated email from My PAA indicating that their action is required on the associated filing upon entering the Secret Answer to your Secret Question and clicking the "Authorize Payment" button.

- Any user that does not have a checkbox selected next to their name and email address will not receive the filing notification.

  - Users are not required to select any/all of the filing team members listed.

  - If you have a role associated with the next filing action, then you may select your contact row and send a notification to yourself.

  - Any member without checkbox cannot be selected, as they have opted out of filing email notifications.

    - For more information about disabling email notifications, please refer to the "Disable Automated Filing Status Emails" Published Answer.

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Certify / Return for Edit as Plan Administrator or Plan Administrator Rep

- Once the filing has been certified by the Actuary (if there is Variable-rate Premium data entered in the filing), and a payment option has been selected by the Payment Preparer (if there is a premium amount due), then the filing can be certified or returned for edit by the Plan Admin/Plan Admin Rep.

- To ensure you can complete this action, confirm the filing status is "Pending Admin Approval" on the Filing Details Page.

- Click on the orange "CERTIFY / RETURN FOR EDIT" button to proceed.

  - Please ensure you have the Plan Admin/Plan Admin Rep role for this plan to proceed with certifying or returning the filing for edits. See the "How to Manage Roles" Published Answer for further details

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Route, Review, Return for Edit, Certify and Submit a Filing

Certify / Return for Edit as Plan Administrator or Plan Administrator Rep

- After the Plan Admin/Plan Admin rep has reviewed the filing and payment details, you must proceed by either certifying the filing or returning the filing for edits.

  - If the Plan Admin/Plan Admin rep finds the filing and payment incorrect, then it will be returned to either the Filing Preparer or Payment Preparer for edits, by clicking on the red "RETURN FOR EDIT" (continue to slide 20 for more details).

  - If the Plan Admin/Plan Admin Rep finds the filing and payment information to be correct, click on the green "CERTIFY" button (continue to slide 21 for more details).

- If the Plan Admin Rep is certifying or returning the filing for edit, then they will need to enter the Plan Admin details before proceeding:

  - Plan Admin Name (individual, not the entity or TPA)
  - Email Address
  - Phone Number and extension (if applicable)
  - Secret Answer to the Secret Question
  - Select the Certification Statement

21

Return for Edit as Plan Administrator or Plan Administrator Rep

- If the Plan Admin/Plan Admin Rep decides to return the filing, a reason and description are required before proceeding.

  - If the edit is due to an issue with the Filing (Return Reason = Filing), then after the decision is saved, the filing will be placed back in "Draft" status, so that the Filing Preparer can make the necessary changes.

  - If the edit is due to an issue with the payment (Return Reason = Payment), then the filing will be placed back in "Pending Payment Info" status, so that the Payment Preparer can make the necessary changes.

- It is important to note that the filing status will not be updated until the Plan Admin/Plan Admin Rep clicks on the "SAVE DECISION" button.

Certify and Submit Filing as Plan Administrator or Plan Administrator Rep

- If the Plan Admin/Plan Admin Rep confirms that the filing and payment information are accurate, then they will click on the green "CERTIFY" button to proceed.

- The Plan Admin/Plan Admin Rep will need to enter their Secret Answer to the Secret Question, as well as selecting the checkbox for the Certification Statement prior to clicking the green "SUBMIT FILING" button.

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Filing Submitted

- Once the approve section has been completed, click on the green "SUBMIT FILING" button to formally submit the filing to the PBGC for processing.

- You will be redirected to the Filing Details Page and the filing will be updated to "Submitted." status, and no further action (pertaining to this filing) is required from the plan in My PAA at this time.

- The following three actions will always be available to filing team members throughout the filing process:

  - Filing Summary: review the data on the filing

  - Filing Receipt: filing data will be generated in the formal Comprehensive Premium Filing form in PDF document format.

  - Payment Voucher: PDF voucher will generate (this is to be used for "Outside" payments.

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Filing Submitted (cont.)

- All filing team members will be able to confirm the submission of the filing on the Plan Details Page.

- Submitted status does not mean the filing is error-free. PBGC will perform another validation check after the filing is submitted via My PAA, and the filing status will be updated accordingly:

  - Submitted/ Pending Processing: Filing is pending PBGC processing, check back later for official status.

  - Submitted/Successfully Processed: Filing has been processed and posted to the plan's Account History.

  - Submitted/Filing Errors: Possible errors have been found and an official letter will be sent to the Plan Contact. This letter will be viewable on the "View Correspondence" page of My PAA.

  - Submitted/Deleted: The submitted filing has been replaced by an amended filing or deleted from the plan's account by PBGC.

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