

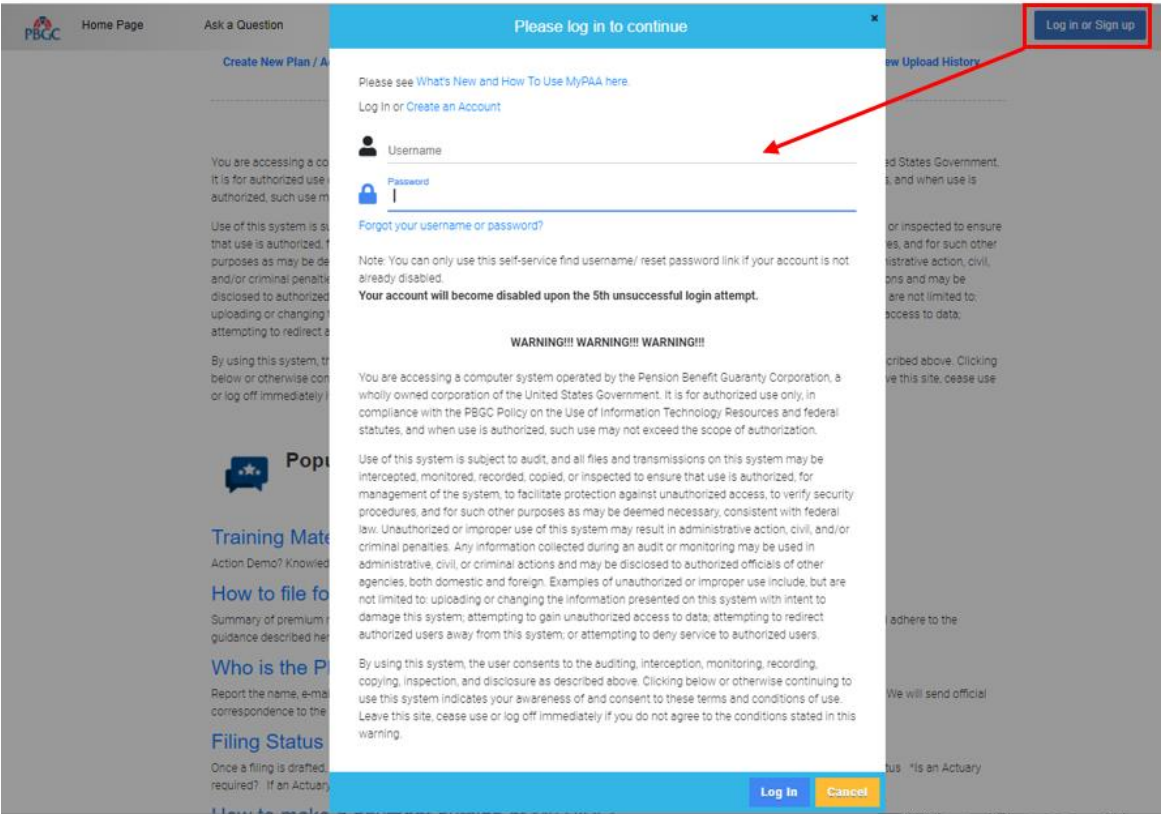
How to Import Filings into My PAA Interview Screens My Plan Administration Account (My PAA)

Last Updated:
September 7th, 2021

How to Import a Filing

Login

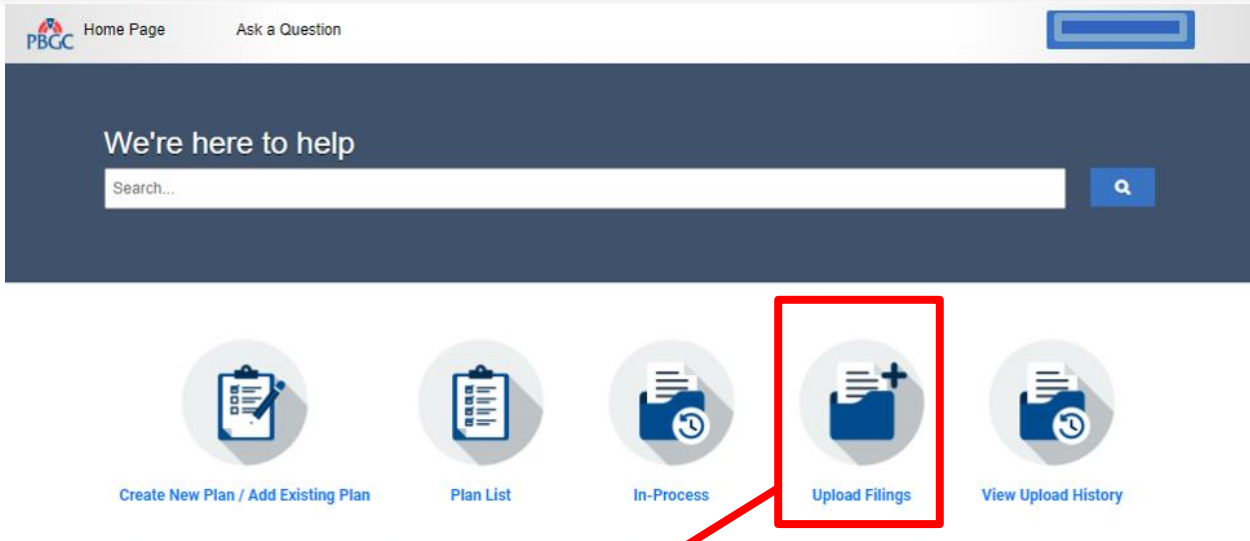
- ▶ From the Home Page, click on the "Log in or Sign up" button to log in.
- ▶ Enter your Username into the field labeled username on the My PAA log in pop-up
- ▶ Enter your Password into the field labeled "Password."
- ▶ Click on the "Log in" button.



How to Import a Filing

Upload Filing Page

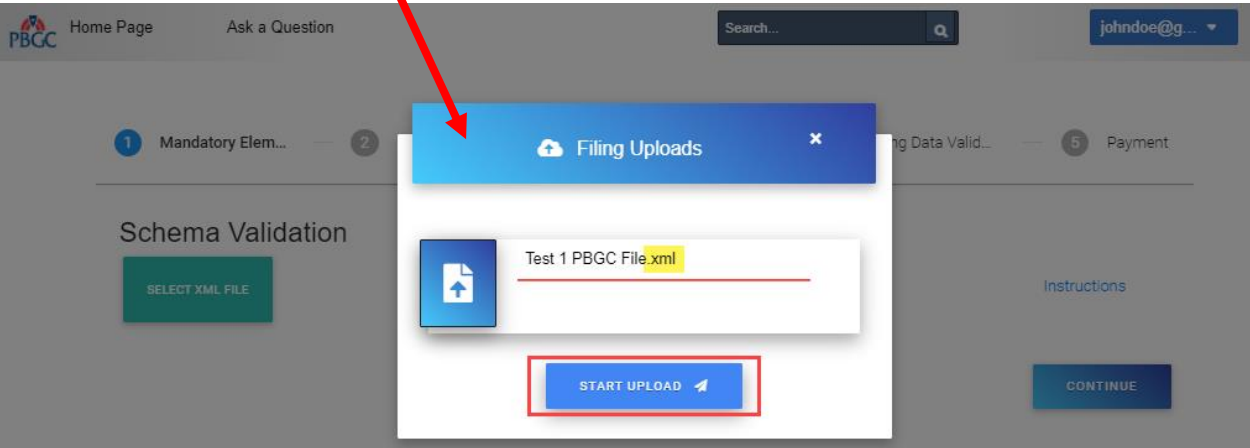
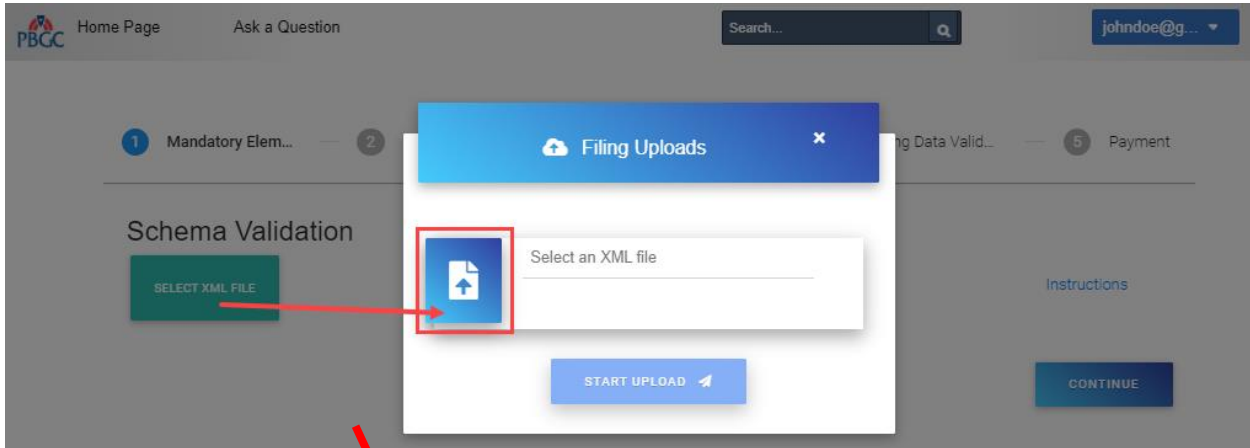
- ▶ Once you have logged in, click on the “Upload Filings” icon or link from the Home Page and you will be redirected to a new page.
- ▶ From the Upload Filings Page, click on the “Select XML File” button to attach the XML file.
 - It is important to note that you must have the plan associated to your My PAA account, and you must have the Upload Preparer role to successfully upload/import a filing.



How to Import a Filing

Filing Uploads

- ▶ Once you click on the “Select XML File” button, a pop up to allow you to search your computer for the correct Comprehensive Premium Filing.
 - As you may note in the images to the right, only .xml files will be acceptable files to upload.
- ▶ Click on the paper icon with the arrow to select the appropriate XML file, then click the “Start Upload” button.



How to Import a Filing

Schema Validation

- ▶ The first validation check the upload will encounter is the schema validation. My PAA will scan the XML file to ensure the correct schema has been provided.
- ▶ If there are no errors, you may continue with the process of uploading your file by clicking on the “Yes, Continue to Check Access” button.
- ▶ If there are errors, a list of schema errors will appear. You will not be able to proceed with that XML file. You must correct the errors and try to reupload the file before continuing.
- ▶ You may exit the process anytime, by clicking on the ‘Exit’ button.

The screenshot shows the PBGC website interface. At the top, there are navigation links for 'Home Page' and 'Ask a Question', a search bar, and a user profile dropdown for 'johndoe@g...'. Below the navigation is a progress bar with five steps: 1. Mandatory Elem..., 2. Plans & Roles (highlighted in blue), 3. In-Process Filings, 4. Filing Data Valid..., and 5. Payment. The main content area displays 'Results from Schema Validation' with the message 'No Errors. Would you like to proceed?'. At the bottom right, there are two buttons: a red 'EXIT' button and a blue 'YES, CONTINUE TO CHECK ACCESS' button.

The screenshot shows the PBGC website interface with schema validation errors. The progress bar is identical to the previous screenshot, with step 2 'Plans & Roles' highlighted. The main content area displays 'Results from Schema Validation' with a blue header 'Schema Errors'. Below this is a table with one row of error information:

Error #	EIN/PN
1	123456789 / 001

Below the table is another table with three columns: '#', 'Error Type', and 'Description':

#	Error Type	Description
1	IsSmallPlan	Missing Element IsSmallPlan
2	IndustryCode	Missing Element IndustryCode

At the bottom right, there are two buttons: a red 'EXIT' button and a grey 'CONTINUE' button.



How to Import a Filing

Access Validation

- ▶ After the schema has been validated, My PAA will then verify that the plan is in your account and you have the Upload Preparer role for the plan.
- ▶ If you are associated with the appropriate plan and role, corresponding to the EIN/PN in the filing, you may continue with the upload process.
- ▶ If you do not have the plan and/or upload preparer role associated to your My PAA account, you (or a filing coordinator if you are not assigned that role) must update this accordingly on the Manage Roles Page, via the Plan Details Page.
 - You do not have EIN/PN: ##### / ### in your My PAA account.
 - You do not have the Upload Preparer role for EIN/PN: ##### / ###.

This screenshot shows the PBCC 'Access Validation' page. At the top, there is a navigation bar with 'Home Page', 'Ask a Question', a search bar, and a user profile 'johndoe@g...'. Below the navigation is a progress indicator with five steps: 'Mandatory Elem...', 'Plans & Roles', 'In-Process Filings' (highlighted in blue), 'Filing Data Valid...', and 'Payment'. The main heading is 'Access Validation', followed by the text: 'We have confirmed you have this plan in your account with the proper role, click continue to validate filing business rules.' At the bottom right, there are two buttons: 'EXIT' and 'CONTINUE', with 'CONTINUE' highlighted in blue.

This screenshot shows the PBCC 'Access Validation' page with an error. The progress indicator is the same as the previous screenshot. Below the heading 'Access Validation' is a blue bar labeled 'Access Errors & Next Steps'. A table lists the error:

Issue #	Description	Mitigation
1	You do not have EIN/PN 123456789/001 in your My PAA account.	Please resolve this by either removing this filing for the Plan with EIN/PN of 123456789/001 or request access to this Plan using the 'New Plan / Add Existing Plan' from the home page.

At the bottom right, there are 'EXIT' and 'CONTINUE' buttons, with 'CONTINUE' being disabled.

This screenshot shows the PBCC 'Access Validation' page with a role-related error. The progress indicator is the same. Below the heading 'Access Validation' is a blue bar labeled 'Access Errors & Next Steps'. A table lists the error:

Issue #	Description	Mitigation
1	You do not have the Upload Preparer role for EIN/PN123456789/001.	Please resolve this by either removing this filing for the Plan with EIN/PN of 123456789/001 or by contacting the Plan Filing Coordinator to request the Upload Preparer role.

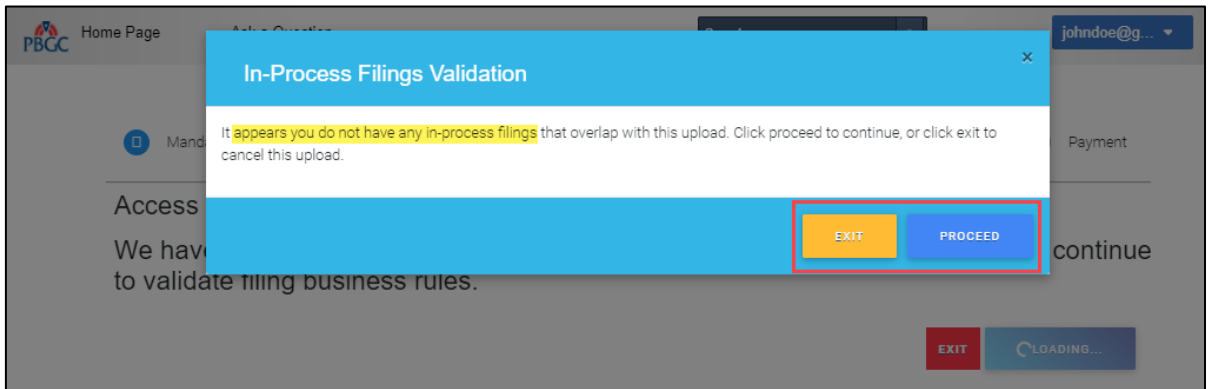
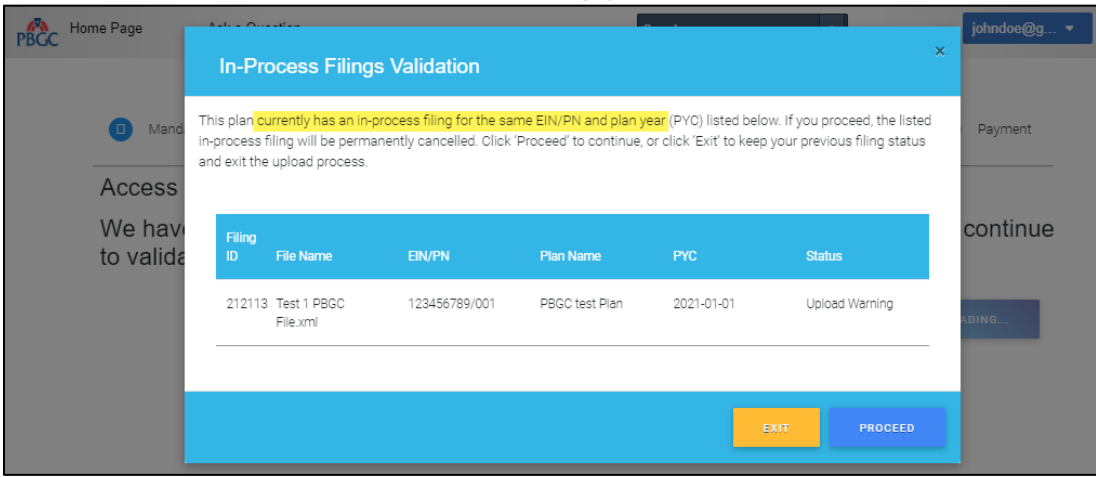
At the bottom right, there are 'EXIT' and 'CONTINUE' buttons, with 'CONTINUE' being disabled.



How to Import a Filing

In-Process Filings Validations

- ▶ My PAA will then check to see if there are any filings that are currently in-process for the same EIN/PN and PYC combination.
- ▶ This validation will help prevent erroneously cancelling any in-process filing.
- ▶ Whether you have any in-process filings for the same EIN/PN and PYC combination or not, you will be able to click “Exit” or “Proceed” accordingly.



How to Import a Filing

Business Rule Validations (Filing Errors and/or Warnings)

- ▶ The next validation check My PAA will perform against the XML file are the Business Rule Validations.
- ▶ If the filing has errors, warnings or is free of both errors and warnings, you will have the option to import the uploaded XML into the My PAA interview screens. This will allow you to review and edit the filing, select a payment method and certify the filing as an Actuary (if needed) and Plan Admin/Plan Admin Rep.
 - It is important to ensure you have the appropriate roles to complete these actions. Please refer to the “What can the different roles do?” published answer in My PAA.

Home Page Ask a Question Search... johndoe@g...

Mandatory Elem... Plans & Roles In-Process Filings **4** Filing Data Valid... 5 Payment

No My PAA filing errors or warnings have been detected in this XML file.

To move forward to the certification step, select 'Proceed to Certify'. If you wish to complete this step later, select 'Save and Exit'. If you do not intend to certify and submit this filing to the PBGC, select 'Cancel Upload' to permanently cancel it. If you prefer to exit the upload process and Import this XML filing into the screen-prepared filing pages, select 'Import XML to My PAA Data Entry Screens'.

To view the filing data that you have uploaded, select the 'Filing Summary' button below, or 'Save and Exit' this page and view the data via the draft version of the Filing Receipt from the View Upload History icon from the Home Page.

Results from Rules Validation

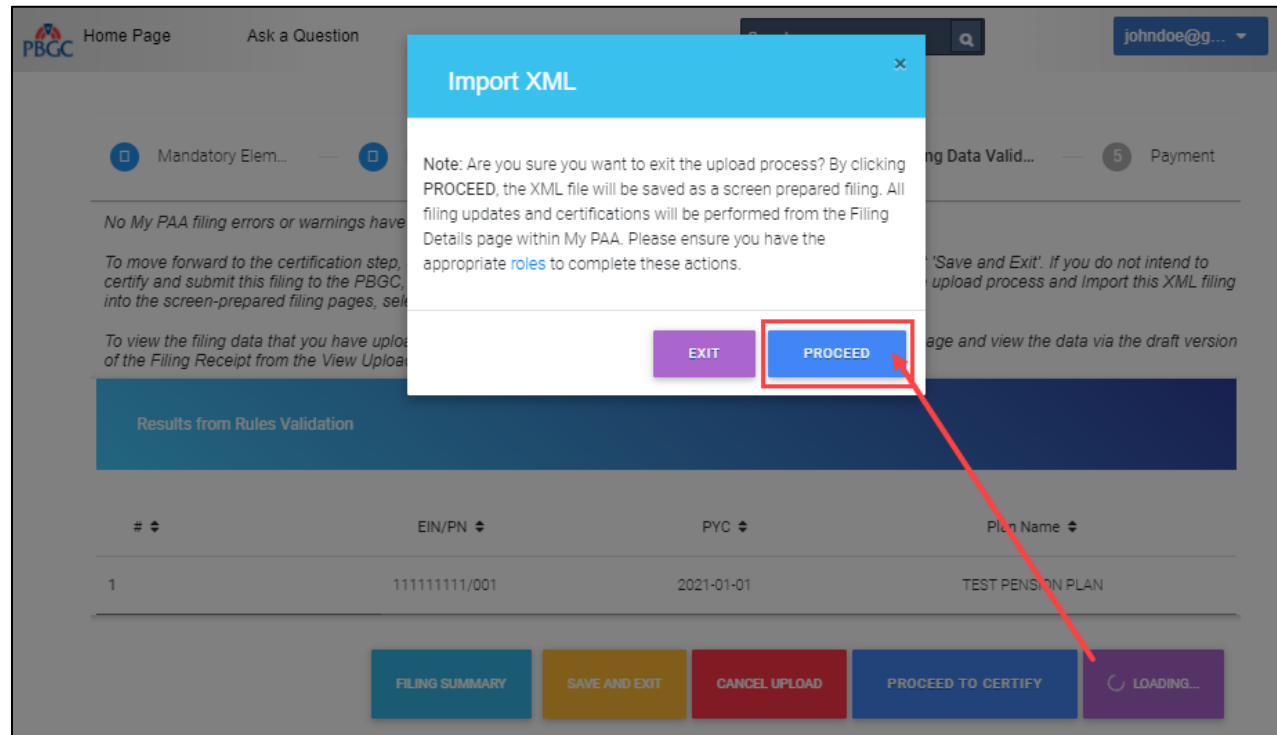
#	EIN/PN	PYC	Plan Name
1	111111111/001	2021-01-01	TEST PENSION PLAN

FILING SUMMARY SAVE AND EXIT CANCEL UPLOAD PROCEED TO CERTIFY **IMPORT XML TO MY PAA DATA ENTRY SCREENS**

How to Import a Filing

Import XML Pop-Up

- ▶ A pop-up confirming you want to finish the filing process through the My PAA data entry screens will appear upon clicking “Import XML to My PAA Data Entry Screens.”
- ▶ If you click “Exit” you will be directed back to the uploading process.
- ▶ If you click “Proceed” you will not be able to certify or select your payment method via the upload process. All filing updates and certifications will be performed from the Filing Details page within My PAA.
 - It is important to ensure you have the appropriate roles to complete these actions. Please refer to the “What can the different roles do?” published answer in My PAA.



How to Import a Filing

Filing Details Page

- ▶ If you choose to “Proceed” with the XML import, you will be redirected to the Filing Details Page. From here you will be able to complete all filing updates and certifications given you are assigned the appropriate roles to do so.
- Please refer to the “How to Edit, Review, Certify, Approve and Submit a Filing” demo for further details on completing the filing process through the My PAA data entry screens.

Plan Details

Plan ID: 86264
Plan Name: SPECIAL NON-PREMIUM TRANSACTIONS
EIN: 123456789 **PN:** 001
Plan Status: Inactive

Plan Effective Date: 01/01/2005
Coverage Date: 06/29/1988
Adoption Date: N/A
Plan Sponsor: SPECIAL NON-PREMIUM TRANSACTIONS

Filing Task History



Filing Details

All screen prepared filings follow this [sequential status order](#):

Create Filing > Draft > Pending Actuary Approval (if required) > Pending Payment Info > Pending Admin Approval > Submitted

Please view the **Filing Task History** at the bottom of this page to review any actions already taken on this filing.

This premium filing is currently in Draft status. Anyone with the **Filing Preparer** role for this Plan can select the **Edit Draft** button (right side) to continue preparing this filing. Filing Coordinators can edit team member roles via the **Manage Roles** link from the Plan Details page. If you do not want to proceed with this filing, select the **Cancel Filing** button to remove it from My PAA.

My PAA Filing ID: 414146 **PYC:** 01/01/2021

Amount Due: \$ 1,548.00 **Filing Status:** Draft

- FILING SUMMARY
- FILING RECEIPT
- EDIT DRAFT
- CANCEL FILING
- PAYMENT VOUCHER

