

How to Upload & Certify Filings

My Plan Administration Account (My PAA)

Last Updated: January 8, 2023



Upload Certification Details

- Who must certify the uploaded XML file?
 - A premium filing that is uploaded for a plan must be certified by one of the following, with the Upload Preparer role assigned in My PAA for the corresponding plan(s).
 - **Uploader**: The person who uploads a filing must certify that he or she is authorized to submit the filing to the PBGC. The plan administrator has the duty to file and is thus automatically authorized. Anyone else (such as the enrolled actuary) who performs the upload must be authorized by the plan administrator. The authorization need not be in writing.
 - **Plan Administrator**: The plan administrator must certify all of the uploaded information. In addition, if the plan administrator receives certified information from an enrolled actuary that is put into the filing, the plan administrator must certify that the variable-rate premium information filed is the same as the actuary certified.
 - **Enrolled Actuary**: An enrolled actuary must certify the variable-rate premium information that is uploaded for a single-employer plan based on each plan year's certification requirements. For example, for plan years starting 2008, the actuary must certify a filing unless the plan is a multiemployer plan, is exempt from the variable-rate premium, or is eligible for and paying the maximum variable-rate premium and not reporting the uncapped variable-rate premium.

Upload Certification Details

- Where do I make my certification?
 - Depending on the situation, you may make your certification on a screen that My PAA will present to you when you upload your filing, or on a paper copy of the information you are certifying.
 - **On the My PAA screen**: The person who uploads a filing certifies his or her authority to submit the filing to the PBGC directly on the screen during the upload process. The same screen has additional certification language that applies to a plan administrator or enrolled actuary who performs an upload.
 - **On a paper copy of the filing**: A plan administrator or enrolled actuary may make a certification on a paper copy of the filing information before it is uploaded. A copy of the filing information must be created by the private-sector software that is used to upload the filing; the copy must identify each item of information that was uploaded so that the meaning of each item is clear to a person reading the copy. The copy of the filing must be printed and the PBGC filing receipt number for the upload must be written on the paper printout.
 - **On a paper statement of the variable-rate premium information**: An enrolled actuary may certify a paper statement of the variable-rate premium information for a filing before the filing is uploaded. The statement must identify each item of information so that the meaning of each item is clear to a person reading the copy and must identify the filing by stating the EIN and PN of the plan and the starting date of the premium payment year. If this method is used by the enrolled actuary, the plan administrator must certify that the variable-rate premium information that is uploaded is the same as the information certified by the enrolled actuary.

Upload Certification Details

- What certification language must be used?
 - Depending on the situation, you may make your certification on a screen that My PAA will present to you when you upload your filing, or on a paper copy of the information you are certifying.
 - **Language on the My PAA screen:** If you certify on the My PAA screen, the certification language is provided on the screen.
 - **Language for certifying a paper copy of an uploaded filing:** A certification on a paper copy of an uploaded filing must be manually signed and dated in ink. It must read as follows:
 - **For a plan administrator:** I certify under penalty of perjury, to the best of my knowledge and belief, that all the information in this filing is true, correct and complete and has been determined in accordance with the PBGC's premium regulations and instructions, and that if I received variable-rate premium information certified by an enrolled actuary for this filing, the variable-rate premium information in the filing is the same as the variable-rate premium information certified by the enrolled actuary.
 - **For an enrolled actuary:** I certify under penalty of perjury, to the best of my knowledge and belief, that the variable-rate premium information in the filing is true, correct and complete and has been determined in accordance with the PBGC's premium regulations and instructions.
 - **On a paper statement of the variable-rate premium information:** Language for certifying a paper statement of the variable-rate premium information. A certification on an enrolled actuary's statement of variable-rate premium information for a filing that is provided before the filing is uploaded must be manually signed and dated in ink.
 - You may use the certification language that the PBGC publishes for the "form" and certification you are making.
 - Otherwise, the certification language must be as follows: I certify under penalty of perjury, to the best of my knowledge and belief, that this variable-rate premium information is true, correct and complete and has been determined in accordance with the PBGC's premium regulations and instructions.



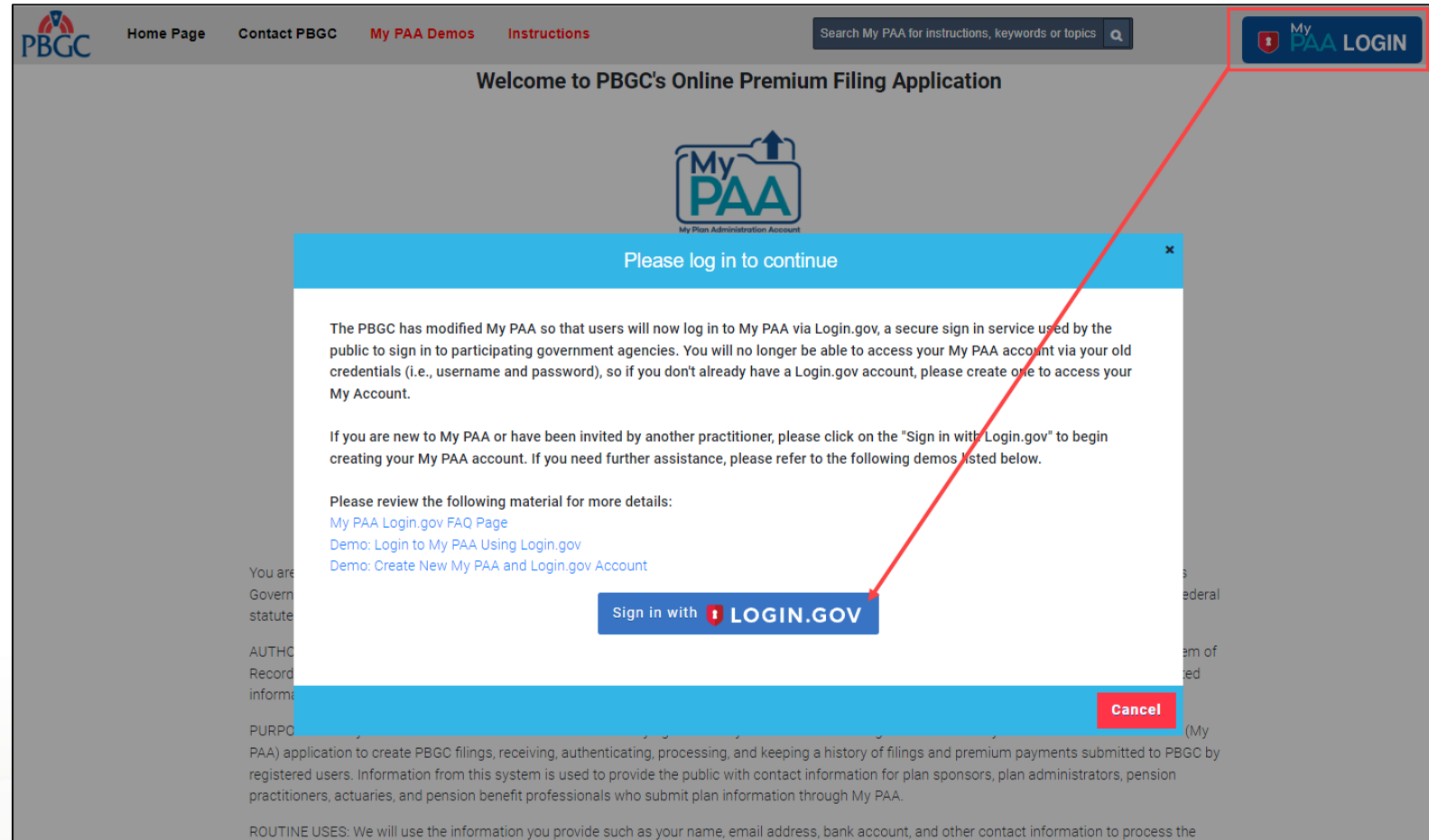
Step-by-Step Instructions

PBGC

How to Upload & Certify a Filing

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.



How to Upload & Certify a Filing

Upload Filing Page

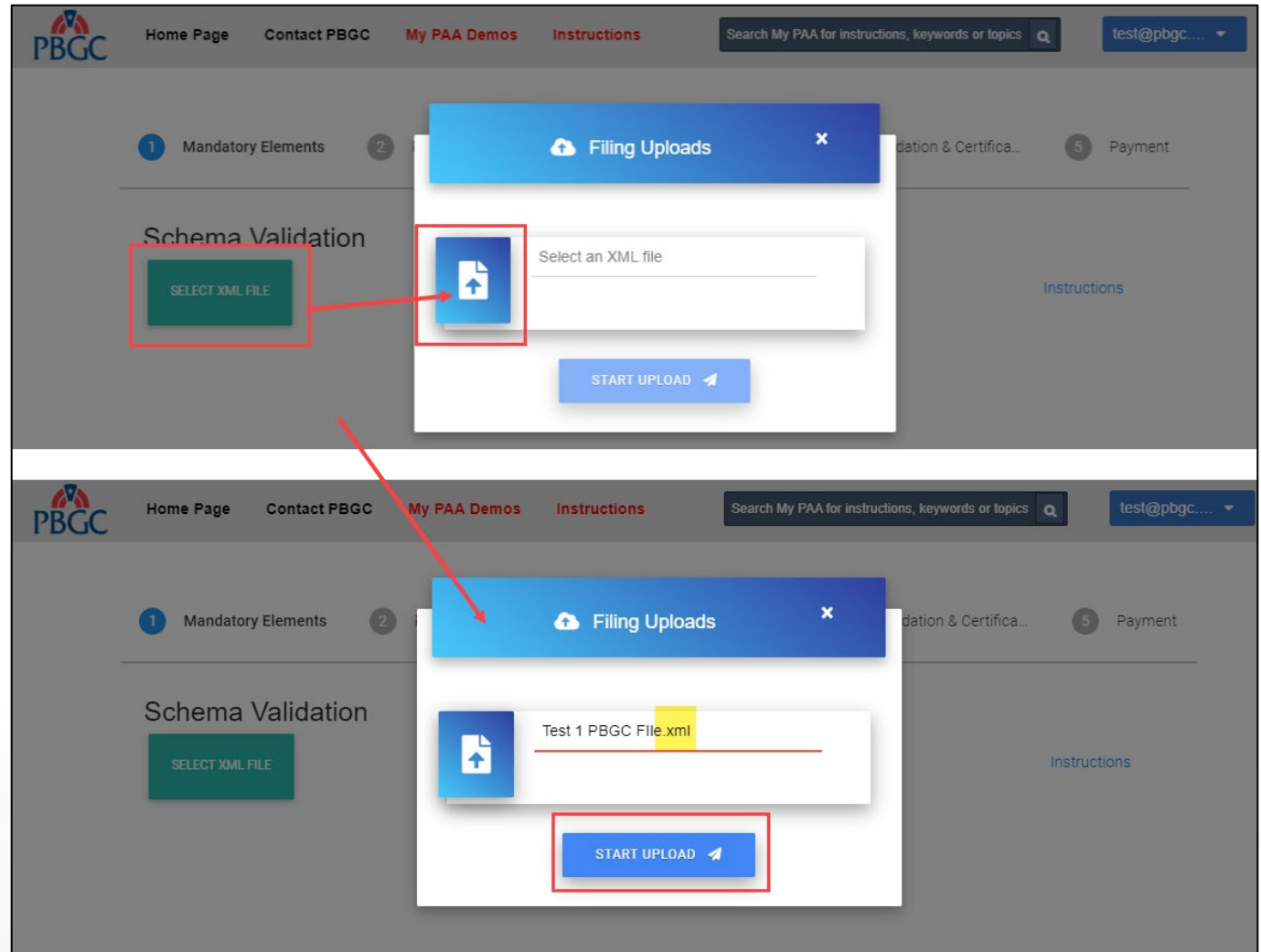
- Once you have logged in, click on the “Upload Filings” icon or link from the Home Page and you will be redirected to a new page.
- From the Upload Filings Page, click on the “Select XML File” button to attach the XML file.
 - It is important to note that you must have the plan associated to your My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

The image shows two screenshots of the PBGC (Pension Benefit Guaranty Corporation) website interface. The top screenshot displays the 'Upload Filings' page, which includes a navigation bar with 'Contact PBGC', 'My PAA Demos', and 'Instructions'. A search bar and a user dropdown menu are also present. Below the navigation bar, there are five circular icons: 'Create New Plan / Add Existing Plan', 'Plan List', 'In-Process', 'Upload Filings' (highlighted with a red box), and 'View Upload History'. A red arrow points from the 'Upload Filings' icon to the bottom screenshot. The bottom screenshot shows the 'Schema Validation' step of the upload process. It features a progress bar with five steps: '1 Mandatory Elements', '2 Plans & Roles', '3 In-Process Filings', '4 Filing Data Validation & Certification', and '5 Payment'. Below the progress bar, there is a 'Schema Validation' section with a green button labeled 'SELECT XML FILE' and a link to 'Instructions'.

How to Upload & Certify a Filing

Filing Uploads

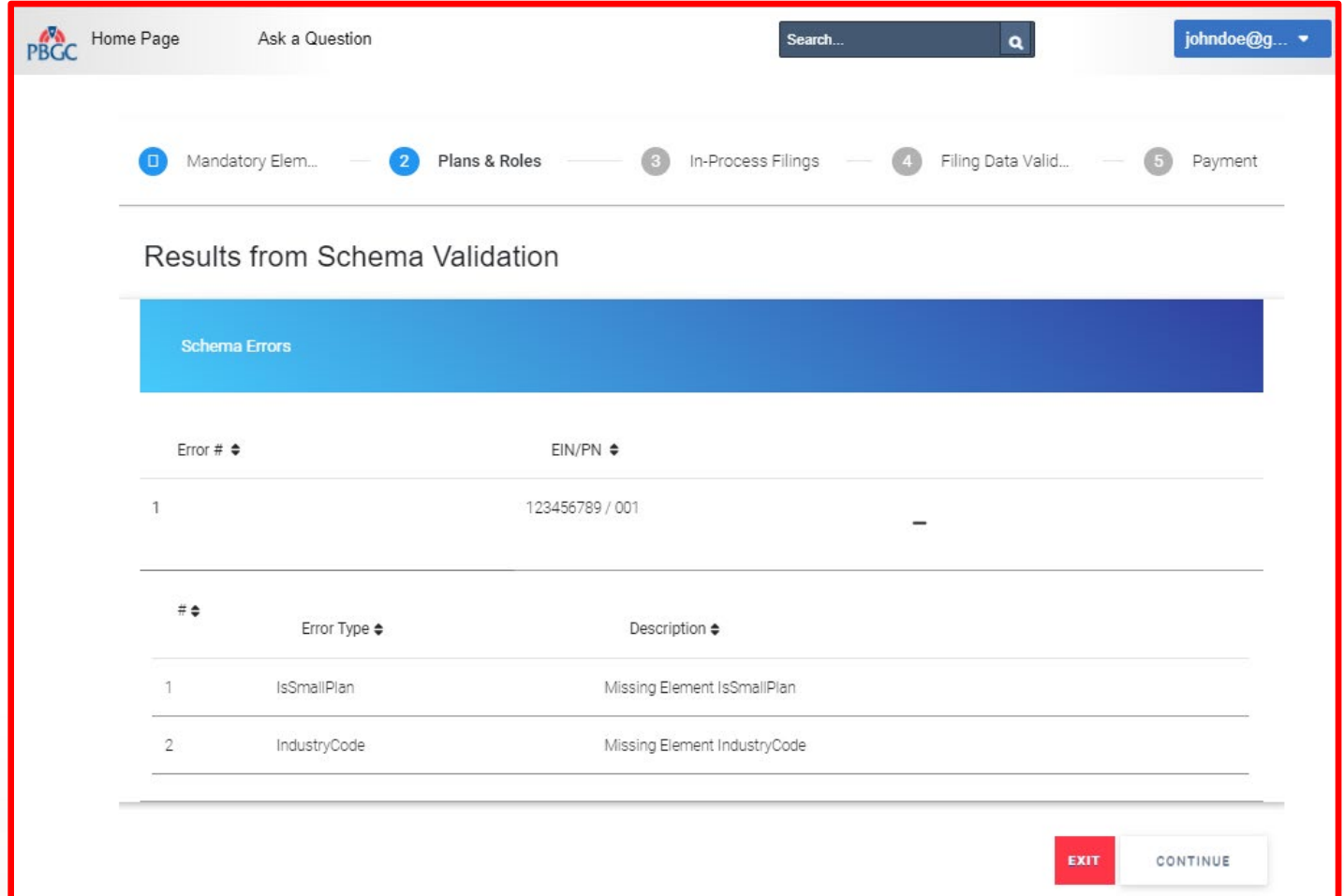
- Once you click on the “Select XML File” button, a pop up to allow you to search your computer for the correct Comprehensive Premium Filing.
 - As you may note in the images to the right, only .xml files will be acceptable files to upload.
- Click on the paper icon with the arrow to select the appropriate XML file, then click the “Start Upload” button.
- The filing will go through several validation checks prior to ensure the XML can be submitted through My PAA. If the first three validation checks does not present any issues/errors, then the Filing Upload interview will skip to the last validation check, Business Rules.



How to Upload & Certify 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 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.
- If there are no errors, you may continue to the Access Validation check.
- You may exit the process anytime, by clicking on the 'Exit' button.



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

1 Mandatory Elem... 2 Plans & Roles 3 In-Process Filings 4 Filing Data Valid... 5 Payment

Results from Schema Validation

Schema Errors

Error #	EIN/PN
1	123456789 / 001

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

EXIT CONTINUE

How to Upload & Certify 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 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: ##### / ##.
- If there are no errors, you may continue to the In-Process Validation check.
- You may exit the process anytime, by clicking on the 'Exit' button.

Access Validation

Access Errors & Next Steps

Issue #	Description	Mitigation
1	You must have the Upload Preparer role for each Plan included in an upload XML file to proceed. You do not currently have the Upload Preparer role for the following EIN/PN(s): 131311313/121	A Plan's Filing Coordinator(s) can update Plan roles via the Manage Roles link or the pencil icon from the Filing Team Member list, both available on the Plan Details page. If you are not the Filing Coordinator for a Plan, you can contact a current Plan Filing Coordinator or request to be added as a new Filing Coordinator by following the prompts on the 'Create New / Add Existing Plan' icon from the Home Page.

EXIT CONTINUE

Access Validation

Access Errors & Next Steps

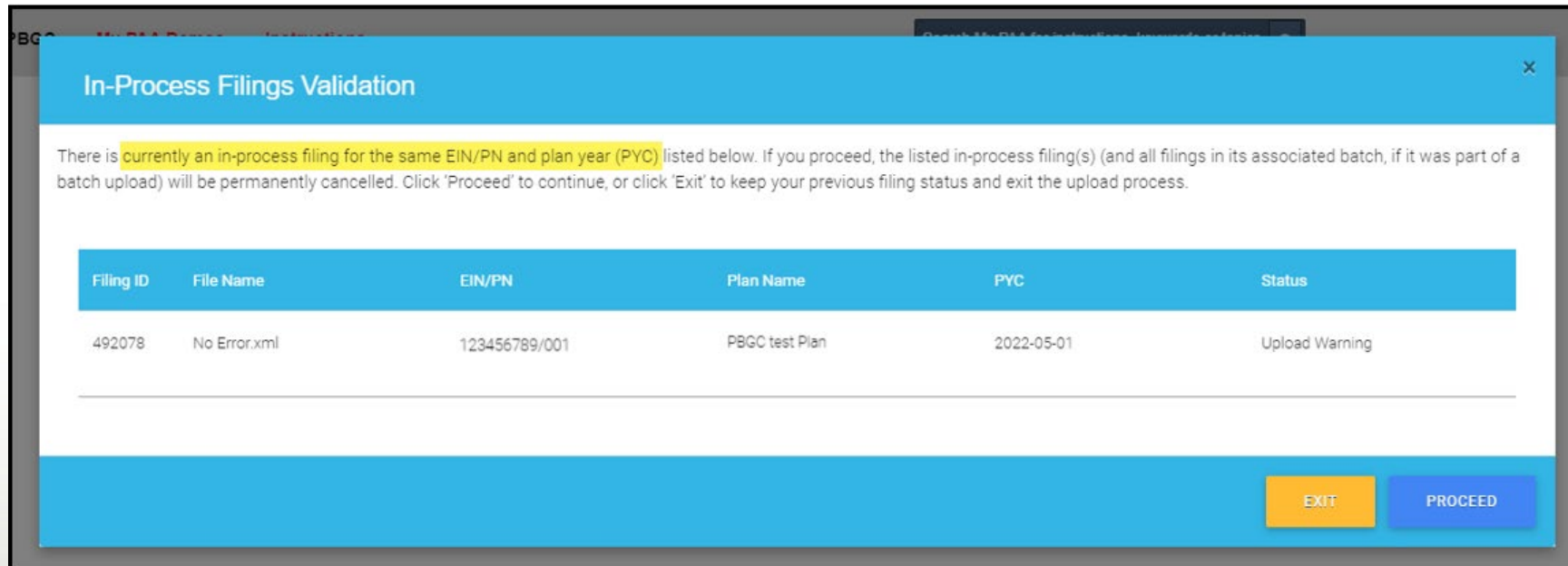
Issue #	Description	Mitigation
1	Each Plan included in an upload XML file must be in your My PAA account to proceed. You do not currently have the following EIN/PN(s) in your My PAA account: 310821123/001	You can request to have a Plan added to your My PAA account from the 'Create New / Add Existing Plan' icon from the Home Page. If this is a batch upload, you can simply remove the filing(s) for Plans which you do not currently have in your My PAA account from the XML file and attempt your upload again.

EXIT CONTINUE

How to Upload & Certify 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 check will be completed for both single and batch uploads.
- 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.



Filing ID	File Name	EIN/PN	Plan Name	PYC	Status
492078	No Error.xml	123456789/001	PBGC test Plan	2022-05-01	Upload Warning

How to Upload & Certify a Filing

Business Rule Validations (No Errors and/or Warnings)

- The final validation check My PAA will perform against the XML file are the Business Rule Validations.
- If there are no filing errors and/or warnings for the filing, you may proceed accordingly.
 - To view the data in the Filing, select the “Filing Summary” button.
 - To save the data and to finish certifying the upload at another time, select the “Save and Exit” button.
 - To stop and not proceed with the uploading process, select the “Cancel Upload” button.
 - To continue to the certification step, select the “Proceed to Certify” button.
- The uploaded XML can be converted as an Import and completed through the My PAA data entry screens. Please refer to the [‘How to Import a Filing’](#) tutorial for more details.

Home Page Contact PBGC My PAA Demos Instructions Search My PAA for instructions, keywords or topics test@pbgc....

Mandatory Elements Plans & Roles In-Process Filings **4 Filing Data Validation & Certific...** 5 Payment

My PAA has detected validation warnings in this XML file. Select the (+) to view these warnings. If desired, you may move forward to the certification step without making additional changes by selecting 'Proceed to Certify', but please be aware PBGC may contact you regarding certain filing warnings if not addressed prior to submission.

If you prefer to correct your filing data before submission via another upload, select 'Cancel Upload' and then attempt your upload again after the appropriate corrections have been made to the XML file.

For Single Filing Upload Only: To view the filing data for this XML, 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. If you prefer to exit the upload process and Import this XML filing into the screen-prepared filing process, select 'Import XML'.

Results from Rules Validation

#	EIN/PN	PYC	Plan Name
1	621047587/001	2021-10-01	STERLING WINDOW SYSTEMS, INC. RETIREMENT PLAN

#	Description	Type
1	The plan year commencing date you entered is not expected based on the data from your last filing. Please confirm this date, as our business rules depend on a valid plan year commencing date.	Warning

FILING SUMMARY SAVE AND EXIT CANCEL UPLOAD PROCEED TO CERTIFY IMPORT XML

How to Upload & Certify a Filing

Business Rule Validations (Filing Errors)

- If there are filing errors (may or may not included warnings) for the filing, you may proceed accordingly.
 - To view the data in the Filing, select the “Filing Summary” button.
 - To save the data and to finish certifying the upload at another time, select the “Exit” button.
 - If you would like to correct the filing errors within the My PAA interview screens (without having to upload a new XML), you can select the “Import XML to My PAA Data Entry Screens” button.
 - Please refer to the [“How to Import a Filing”](#) tutorial for more details.

My PAA Demos Instructions

Search My PAA for instructions, keywords or topics

Mandatory Elements Plans & Roles In-Process Filings 4 Filing Data Validation & Certification 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.

For Single Filing Upload Only: 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. If you prefer to exit the upload process and Import this XML filing into the screen-prepared filing process, select 'Import XML'.

Results from Rules Validation

#	EIN/PN	PYC	Plan Name
1	2022-05-01		Shipley

FILING SUMMARY SAVE AND EXIT CANCEL UPLOAD PROCEED TO CERTIFY IMPORT XML

How to Upload & Certify a Filing

Filing Summary

- You may select each filing section to display the filing data or click the “Expand All” link to reveal every section at once.
- You may also collapse each section by clicking on the title again or collapse all sections by clicking the “Collapse All” link.

Filing Summary

Filing Summary for: STERLING
Plan ID:
EIN/PN:
Filing ID: 492349

[Validations](#)

[General Plan Information](#)

[Additional Plan Information](#)

[Plan Year Details](#)

[Flat-Rate Premiums](#)

[Variable-Rate Premiums \(VRP\)](#)

[Premium Funding Target Method](#)

[Calculating Unfunded Vested Benefits](#)

[Variable-rate Premium Due](#)

[Calculate Total Premium](#)

[Premium Amount Due](#)

[Expand All](#)

General Plan Information

Employer Identification Number (EIN):
Plan Number (PN): 001
Plan Name:
Sponsor's Name: Sterling
First Six Digits of CUSIP:
Business Code Type: Miscellaneous Manufacturing
Business Code: 339900 Other Miscellaneous Mfg

Plan Admin Information

Admin Name: Sterling
Email Address: mask@pbgc.gov
Phone Number:
Ext:
Address1: 6705 Wkhwdugg Bnifq Xbvo
Address 2:
City: New City
State: DE
Zip: 11111
Country: US

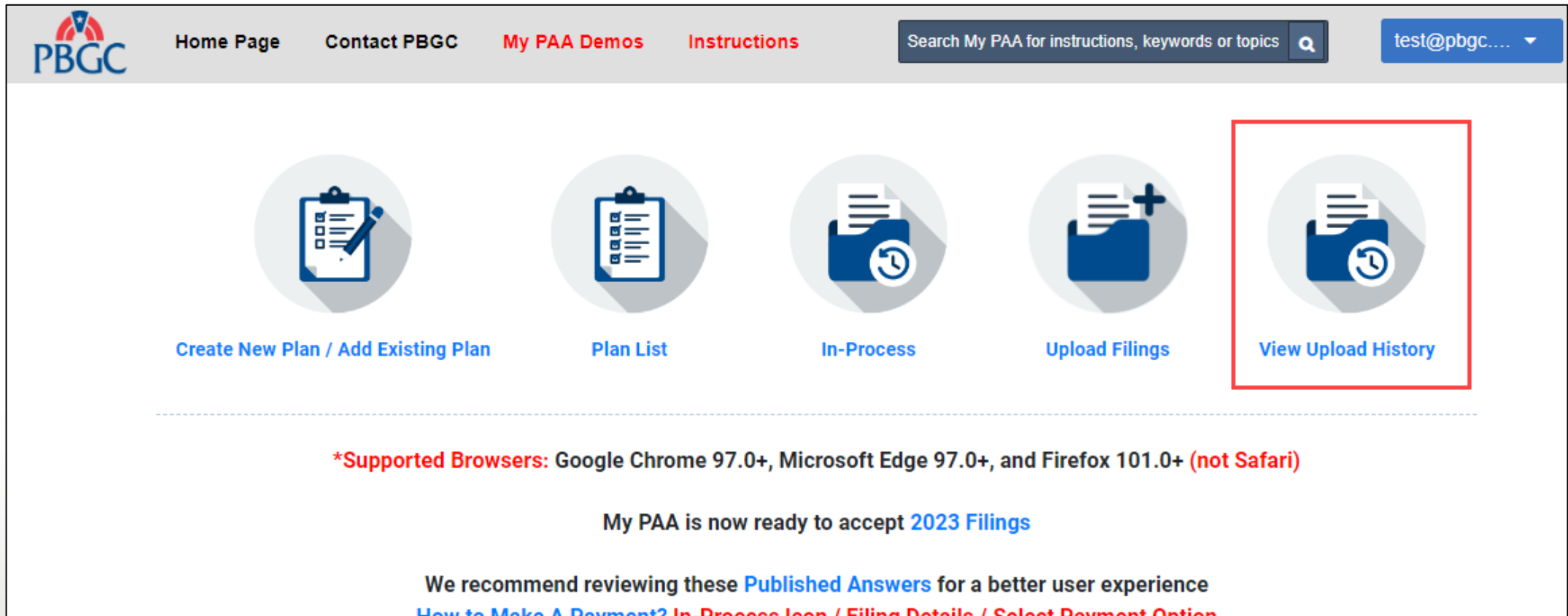
Plan Contact Information

Plan Contact Name (Correspondence Addressee):
Email Address: mask@pbgc.gov
Phone Number:

How to Upload & Certify a Filing

Save and Exit

- Once you click the “Save and Exit” button, you will be redirected to the Home Page.
- You will be able to retrieve your in-process upload filing by clicking on the “View Upload History” icon/link.



The screenshot displays the PBGC My PAA interface. At the top, there is a navigation bar with the PBGC logo, links for Home Page, Contact PBGC, My PAA Demos, and Instructions. A search bar is also present with the text "Search My PAA for instructions, keywords or topics" and a dropdown menu showing "test@pbgc....". Below the navigation bar, there are five circular icons representing different actions: "Create New Plan / Add Existing Plan", "Plan List", "In-Process", "Upload Filings", and "View Upload History". The "View Upload History" icon, which shows a document with a clock, is highlighted with a red rectangular box. Below the icons, there is a section titled "*Supported Browsers: Google Chrome 97.0+, Microsoft Edge 97.0+, and Firefox 101.0+ (not Safari)". Further down, it states "My PAA is now ready to accept 2023 Filings". At the bottom, there is a recommendation to review "Published Answers" for a better user experience, with links to "How to Make A Payment?", "In-Process Icon / Filing Details / Select Payment Option".

How to Upload & Certify a Filing

Cancel Upload

- Once you click the “Cancel” button a pop-up will appear confirming you would like to cancel the upload file you have in-process.
- Once you confirm you will be redirected to the Home Page, and the cancelled file will be documented in your Upload History.

The screenshot displays the PBGC (Pension Benefit Guaranty Corporation) upload interface. A red pop-up window titled "Cancel Upload" is centered on the screen, asking for confirmation to cancel the upload. The pop-up text reads: "Are you sure you'd like to cancel this upload? This is a permanent action. To proceed, click the 'Confirm Upload Cancellation' button below". It features two buttons: a purple "Cancel" button and a red "Confirm Upload Cancellation" button. A red arrow points from the "CANCEL UPLOAD" button in the bottom navigation bar to the "Confirm Upload Cancellation" button in the pop-up.

The background interface includes the PBGC logo, navigation links for "Home Page" and "Contact PBGC", a search bar, and a user profile dropdown showing "test@pbgc...". The main content area shows a progress bar with steps: "Mandatory Elements", "Validation & Certification", and "Payment". Below this, a message states: "My PAA has detected validation warnings without making additional changes by self-addressed prior to submission." It also provides instructions on how to correct the filing data or proceed with the upload.

At the bottom, there is a table titled "Results from Rules Validation" with columns: "#", "EIN/PN", "PYC", and "Plan Name". The table contains one row of data:

#	EIN/PN	PYC	Plan Name
1	621047587/001	2021-10-01	STERLING WINDOW SYSTEMS, INC. RETIREMENT PLAN

Below the table is a red plus icon. At the very bottom, there is a row of five buttons: "FILING SUMMARY" (teal), "SAVE AND EXIT" (olive), "CANCEL UPLOAD" (red), "PROCEED TO CERTIFY" (blue), and "IMPORT XML" (purple).

How to Upload & Certify a Filing

Proceed to Certify

- If you click the “Proceed to Certify” button, a popup will appear requiring you to read and accept the certification rules, and answer your secret question to verify your identity/role.
- Once you certify the filing and answer your secret question correctly, click on the “Certify Upload” button to proceed.

Upload Summary

File Name: 621047587 001 10012021_wrong rates.xml
Number of Filings: 1

Certification of Filing [Certification Rules](#)

To complete the certification of this upload, containing one or more premium filings, you must: (1) select the checkbox below to indicate that you have read and agree with the displayed certification statement, (2) enter your Secret Answer (*Case Sensitive*), and (3) click the "Certify Upload" button. Select the "Certification Rules" link for additional upload certification guidance.

☐ For each premium filing in the file I am uploading, I certify under penalty of perjury, to the best of my knowledge and belief, that I am authorized to submit the premium filing to the PBGC and:

If I am the enrolled actuary, that the variable-rate premium information in the filing is true, correct and complete and has been determined in accordance with the PBGC's premium regulations and instructions, except that if the filing reports an estimated premium funding target, the estimate is reasonable, takes into account the most current information available to me, and has been determined in accordance with generally accepted actuarial principles and practices.

If I am the plan administrator, that all the information in the filing is true, correct and complete and has been determined in accordance with the PBGC's premium regulations and instructions, except that if the filing reports an estimated premium funding target, the estimate is reasonable, takes into account the most current information available to the enrolled actuary, and has been determined in accordance with generally accepted actuarial principles and practices, and that if I received variable-rate premium information certified by an enrolled actuary for this filing, the variable-rate premium information in the filing is the same as the variable-rate premium information certified by the enrolled actuary.

If I am not the plan administrator, that the individual whose name is included in the Plan Administrator Certification section of this filing has signed the Plan Administrator Certification, in ink, on a paper copy of a "printable form" that (1) shows the data contained in this filing and (2) was generated by My PAA or approved private-sector software, for retention in the plan records for six years after the premium due date. In addition, if I received variable-rate premium information certified by an enrolled actuary for this filing, the variable-rate premium information in the filing is the same as the variable-rate premium information certified by the enrolled actuary.

As an extra security precaution, enter below the answer to your Secret Question before clicking the "Certify Upload" button.

I understand that under the Government Paperwork Elimination Act ("GPEA") (Title XVII of Public Law No. 105-277), my answer to my secret question will be deemed the equivalent of my handwritten signature and as binding under 18 U.S.C. 1001 (dealing with false statements) as an inked signature.

Secret Question: In what city were you born?
Secret Answer (Case Sensitive)

CANCEL **CERTIFY UPLOAD**

How to Upload & Certify a Filing

Select Payment Option

- The final step in the upload process and once the filing certification is complete is to select a payment method.
- Click the “Proceed to Payment” button and you will be redirected to the Submit a Payment Page where you can elect to make a payment within or outside of My PAA.
 - For more information on how to submit a payment, please view the [online demonstration](#).
- You may choose to save the data and select a payment method at another time by clicking the “Save and Exit” button.
- You may choose to stop and not proceed with the uploading process by clicking the “Cancel Upload” button.

The screenshot displays the PBGC website interface. At the top, there is a navigation bar with links: Home Page, Contact PBGC, My PAA Demos, and Instructions. A search bar is also present. Below the navigation bar, a progress indicator shows five steps: Mandatory Elements, Plans & Roles, In-Process Filings, Filing Data Validation & Certifica..., and Payment (the final step, highlighted with a blue circle and the number 5). The main content area is titled 'Final Step' and contains a blue box labeled 'Next Steps'. Below this, a message states: 'Your upload certification has been completed. A payment option must be selected before this filing can be submitted to the PBGC for processing.' At the bottom of this section are three buttons: 'SAVE AND EXIT' (yellow), 'CANCEL UPLOAD' (red), and 'PROCEED TO PAYMENT' (blue, highlighted with a red box). A red arrow points from the 'PROCEED TO PAYMENT' button to the 'Submit a Payment' page below. The 'Submit a Payment' page has a title 'Submit a Payment' and a subtitle 'Published 06/02/2020 10:29 AM | Updated 04/27/2021 04:07 PM'. It features a section titled 'Select Payment Option' with a sub-header 'Comprehensive Filing for Plan Year Commencing 10/01/2021 STERLING'. Below this, it asks the user to 'Please select one of the following payment options:' and provides two radio button options: 'Pay Within My PAA - I wish to pay online via My PAA and authorize PBGC to deduct an amount I authorize from an ACH account once this filing is submitted.' and 'Pay Outside My PAA - I wish to submit my filing without making an online payment via My PAA (external options include Pay.gov, paper check or EFT)'. At the bottom of the page are 'Cancel' and 'Next' buttons.

How to Upload & Certify a Filing

Plan Details Page

- Once the upload has been completed and a payment method has been selected you will see that your filing has been submitted in the Premium Filings Section.
- To download a copy of the submitted filing click on the “Filing Receipt” button for a PDF file.

The screenshot displays the PBGC Plan Details page. At the top, there is a navigation bar with links: Home Page, Contact PBGC, My PAA Demos, and Instructions. A user dropdown menu shows 'test@pbgc...'. The main content area is titled 'Plan Details' and contains the following information:

- Plan ID:** (blank)
- Plan Name:** RETIREMENT PLAN
- EIN:** (blank)
- Plan Status:** Active
- Plan Effective Date:** 03/01/1986
- Coverage Date:** 03/01/1986
- Adoption Date:** N/A
- Plan Sponsor:** Sterling

Below the plan details, there are two buttons: 'PLAN ADMIN DETAILS' and 'PLAN CONTACT DETAILS'. To the right of these buttons is an 'EDIT' icon. Below the buttons, there are several links: 'Create Filing', 'Manage Roles', 'Account History', 'Payment Voucher', 'Submit Request', 'Check Status of Request', and 'View Correspondence'.

The 'Premium Filings' section is highlighted with a blue header. It includes a 'Show 10 entries' dropdown and a search bar. Below this is a table with the following data:

Filing ID	PYC	Submit Date	Status	FILING DETAILS	FILING RECEIPT	AMEND
492350	10/01/2021	01/08/2023	Submitted	FILING DETAILS	FILING RECEIPT	AMEND
452147	03/01/2021	12/10/2021	Submitted/Successfully Processed	FILING DETAILS	FILING RECEIPT	AMEND
410633	03/01/2020	12/14/2020	Submitted	FILING DETAILS	FILING RECEIPT	AMEND