

How to Upload & Certify Filings

My Plan Administration Account (My PAA)

Last Updated: January 13, 2025



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.

▶ **The 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 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. For example, each item of information could be identified with the same language used on PBGC-published forms. 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.
- ▶ **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. For example, an enrolled actuary certifying variable-rate premium information for a plan could use the enrolled actuary certification language published by the PBGC for the Comprehensive Premium Filing for the premium payment year.
 - 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.



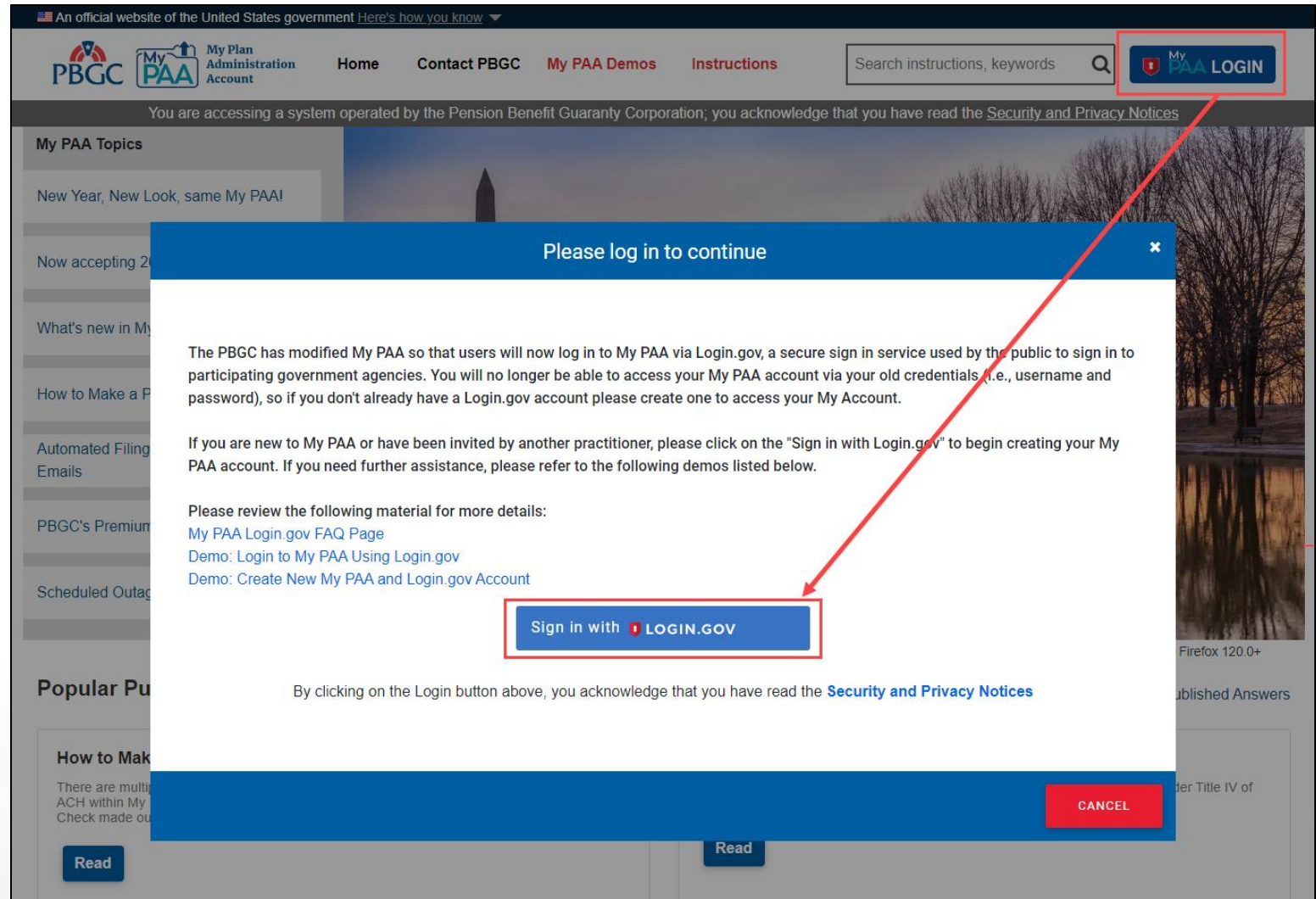
Step-by-Step Instructions

PBGC

How to Upload & Certify a Filing

Login

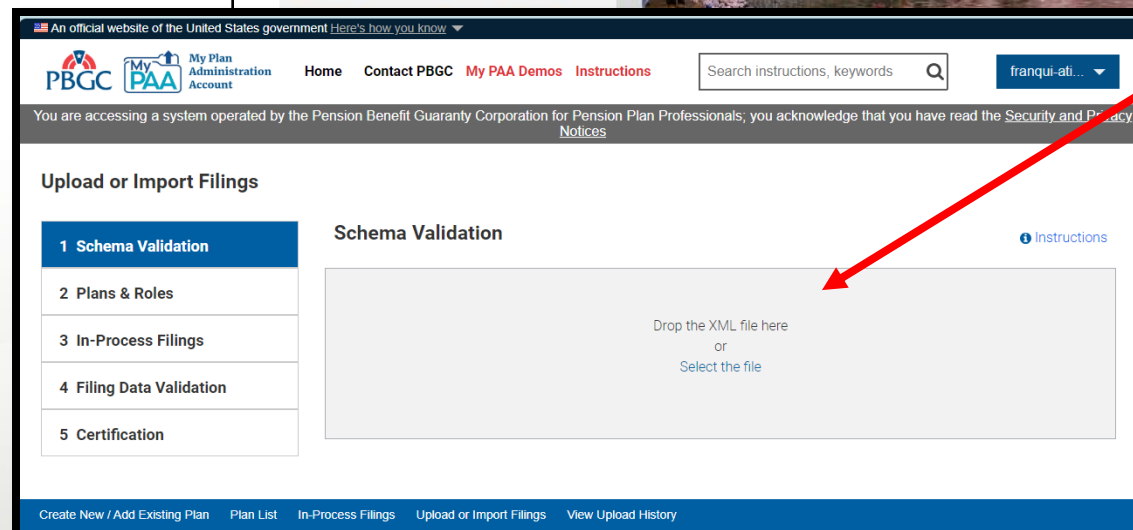
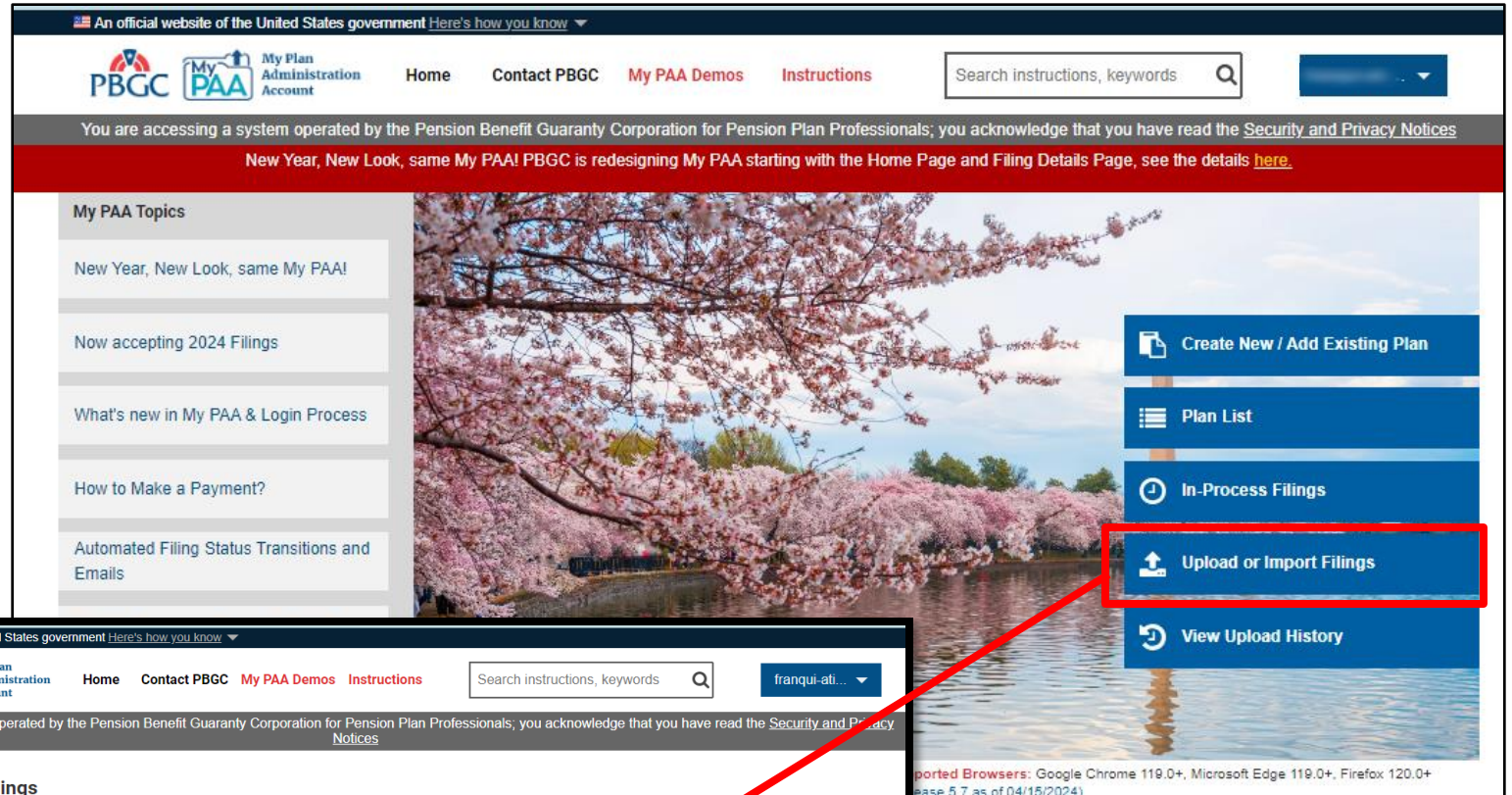
- From the Home Page, click on the "My PAA Login" button to log in.
- You will need to log in to your Login.gov account to access your My PAA account.
 - For more details and step-by-step instructions on how to access your My PAA account via Login.gov please view PBGC's [How to Log in to My PAA Using Login.gov?](#) Published Answer.



Upload Certification Details

Upload Filing Page

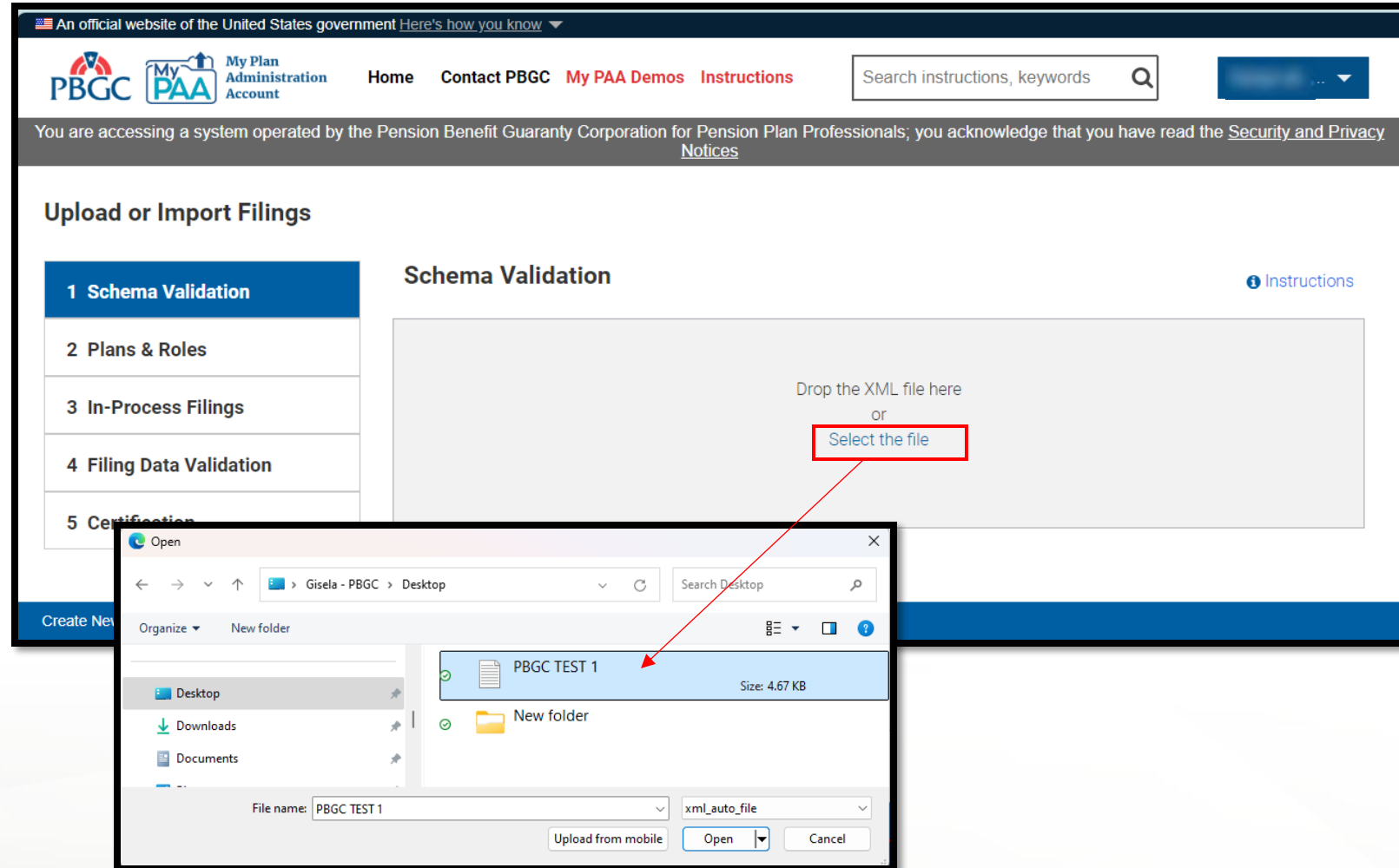
- Once you have logged in, click on the “Upload or Import Filings” button from the Home Page and you will be redirected to a new page.
- From the Upload or Import Filings Page, click on the “Select XML File” link to attach the XML file, or drag and drop the file into the gray box.
 - It is important 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.



How to Upload & Certify a Filing

Filing Uploads

- Once you click on the “Select the file” link, 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.
- Select the appropriate XML file, then click ‘Open’ to start the upload process.



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 no errors, My PAA will continue on to the Plans & Roles Validation check.
- You may exit the process, by clicking on the 'Return to Home Page' button.

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Upload or Import Filings Current File Name: PBGC TEST 1.XML

1 Schema Validation 

2 Plans & Roles

3 In-Process Filings

4 Filing Data Validation

5 Certification

Schema Validation

[Instructions](#)

Error #	EIN/PN	Error Type	Description
1	N/A	Schema Validation	We are unable to validate the schema of this XML due to formatting errors. Please confirm the Submission/Envelope XML tags and namespace elements being used.

[RETURN TO HOME PAGE](#)

Create New / Add Existing Plan Plan List In-Process Filings Upload or Import Filings View Upload History

How to Upload & Certify a Filing

Plans & Roles 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 currently have the EIN/PN(s) shown below in your My PAA account.
 - You do not currently have the Upload Preparer role for the EIN/PN(s) shown below.

The image displays two screenshots of the PBGC My PAA account interface, specifically the 'Upload or Import Filings' section. Both screenshots show a progress bar on the left with five steps: 1 Schema Validation (completed), 2 Plans & Roles (active), 3 In-Process Filings, 4 Filing Data Validation, and 5 Certification. The current file name is 'PBGC TEST 1.XML'.

Top Screenshot: EIN/PN(s) not in account

The 'Access Validation' section shows a 'Description' stating that the XML file contains all mandatory elements and passed PBGC's schema validation, but each Plan included in an uploaded XML file must be in your My PAA account to proceed. A red underline highlights the text: 'You do not currently have the EIN/PN(s) shown below in your My PAA account.' The 'Mitigation' section explains that 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. A red box highlights the table below:

EIN/PN(s) not in account	
223435674/002	PBGC TEST PENSION PLAN

A 'RETURN TO HOME PAGE' button is located at the bottom right.

Bottom Screenshot: EIN/PN(s) with incorrect role

The 'Access Validation' section shows a 'Description' stating that the XML file contains all mandatory elements and passed PBGC's schema validation, but you must have the Upload Preparer role for each Plan included in an uploaded XML file to proceed. A red underline highlights the text: 'You do not currently have the Upload Preparer role for the EIN/PN(s) shown below.' The 'Mitigation' section explains that a Plan's Filing Coordinator(s) can update Plan roles via the Manage Roles button on the Plan Details page for this Plan. If you are not the Filing Coordinator, you can contact the current Filing Coordinator or request to be added as a new Filing Coordinator for the Plan by following the prompts on the 'Create New / Add Existing Plan' button from the Home Page. A red box highlights the table below:

EIN/PN(s) with incorrect role	
223435674/001	PBGC TEST PENSION PLAN



A 'RETURN TO HOME PAGE' button is located at the bottom right.

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 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 “Return to Home Page” or “Proceed” accordingly.

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  My Plan Administration Account


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Upload or Import Filings

Current File Name: PBGC TEST 1.XML

1 Schema Validation 

2 Plans & Roles 

3 In-Process Filings 

4 Filing Data Validation

5 Certification

In-Process Filings Validation

[Instructions](#)

There is currently an in-process filing for the same EIN/PN and plan year (PYC) listed below. If you proceed, the listed in-process filing(s) (and all filings in its associated batch, if it was part of a batch upload) will be permanently cancelled. Click 'Proceed' to continue, or click 'Return to Home Page' to keep your previous filing status and exit the upload process.

Filing ID	File Name	EIN/PN	PYC	Plan Name	Status
553666	PBGC TEST 1.XML	223435674/001	01/01/2024	PBGC TEST PENSION PLAN	Upload Pending Cert

[RETURN TO HOME PAGE](#) [PROCEED](#)

How to Upload & Certify a Filing

Filing Data Validations (Filing Errors and/or Warnings)

- The next validation check My PAA will perform against the XML file are the Filing Data 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 via the “Import XML” button. Please refer to the ‘[How to Import an XML Filing](#)’ demo for more details.

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Upload or Import Filings

Current File Name: PBGC TEST 1.XML

1 Schema Validation	✓
2 Plans & Roles	✓
3 In-Process Filings	✓
4 Filing Data Validation	✓
5 Certification	

Filing Data Validation

[Instructions](#)

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'.

#	EIN/PN	PYC	Plan Name
1	223435674/001	01/01/2024	PBGC TEST PENSION PLAN

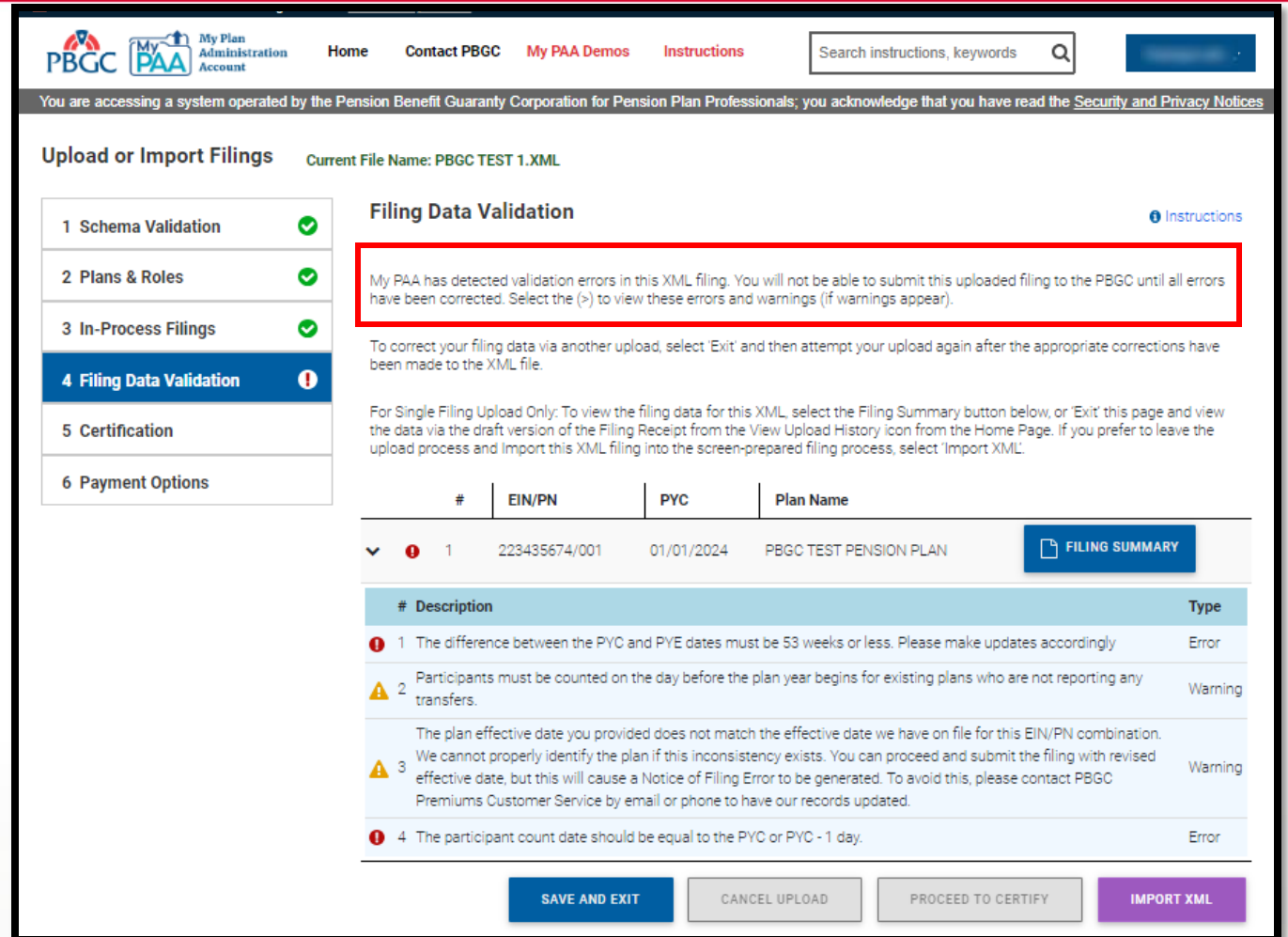
[FILING SUMMARY](#)

[SAVE AND EXIT](#) [CANCEL UPLOAD](#) [PROCEED TO CERTIFY](#) [IMPORT XML](#)

How to Upload & Certify a Filing

Business Rule Validations (Filing Errors and/or Warnings)

- If there are filing errors, then you must correct the validation errors before proceeding.
- If there are only 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.
- The uploaded XML can be converted as an Import and completed through the My PAA data entry screens via the “Import XML” button. Please refer to the ‘[How to Import an XML Filing](#)’ demo for more details.



Upload or Import Filings Current File Name: PBGC TEST 1.XML

Filing Data Validation [Instructions](#)

My PAA has detected validation errors in this XML filing. You will not be able to submit this uploaded filing to the PBGC until all errors have been corrected. Select the (>) to view these errors and warnings (if warnings appear).

To correct your filing data via another upload, select 'Exit' 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 '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 leave the upload process and import this XML filing into the screen-prepared filing process, select 'Import XML'.

#	EIN/PN	PYC	Plan Name	
1	223435674/001	01/01/2024	PBGC TEST PENSION PLAN	FILING SUMMARY

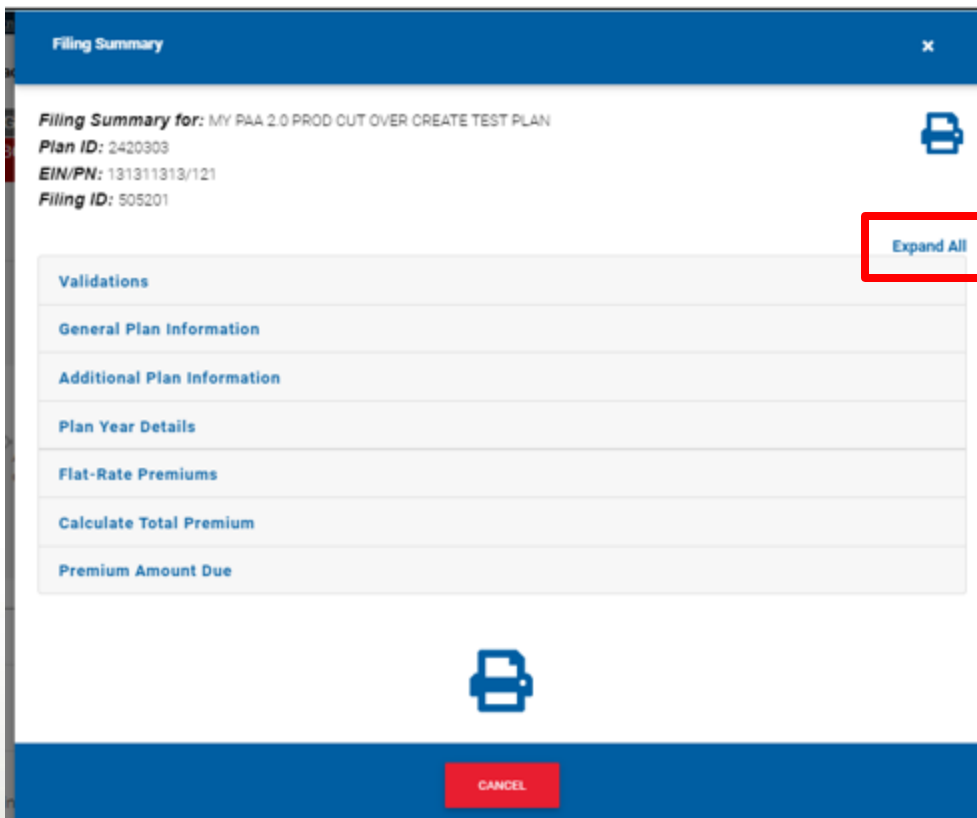
#	Description	Type
1	The difference between the PYC and PYE dates must be 53 weeks or less. Please make updates accordingly.	Error
2	Participants must be counted on the day before the plan year begins for existing plans who are not reporting any transfers.	Warning
3	The plan effective date you provided does not match the effective date we have on file for this EIN/PN combination. We cannot properly identify the plan if this inconsistency exists. You can proceed and submit the filing with revised effective date, but this will cause a Notice of Filing Error to be generated. To avoid this, please contact PBGC Premiums Customer Service by email or phone to have our records updated.	Warning
4	The participant count date should be equal to the PYC or PYC - 1 day.	Error

[SAVE AND EXIT](#) [CANCEL UPLOAD](#) [PROCEED TO CERTIFY](#) [IMPORT XML](#)

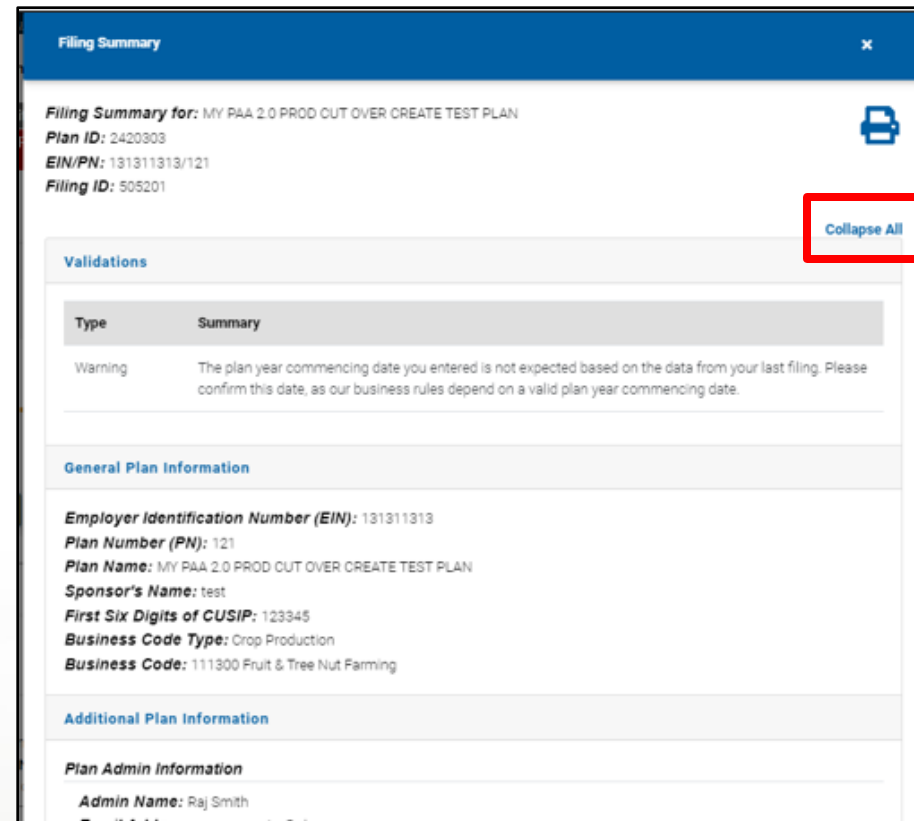
How to Upload & Certify a Filing

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.



The screenshot shows the 'Filing Summary' window. At the top, it says 'Filing Summary for: MY PAA 2.0 PROD CUT OVER CREATE TEST PLAN'. Below this are the details: 'Plan ID: 2420303', 'EIN/PN: 131311313/121', and 'Filing ID: 505201'. A list of sections is shown: 'Validations', 'General Plan Information', 'Additional Plan Information', 'Plan Year Details', 'Flat-Rate Premiums', 'Calculate Total Premium', and 'Premium Amount Due'. The 'Expand All' link is highlighted with a red box. A 'CANCEL' button is at the bottom.



The screenshot shows the 'Filing Summary' window with the same header information. The 'Validations' section is expanded, showing a warning: '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.' Below this, the 'General Plan Information' section is expanded, showing details like 'Employer Identification Number (EIN): 131311313', 'Plan Number (PN): 121', 'Plan Name: MY PAA 2.0 PROD CUT OVER CREATE TEST PLAN', 'Sponsor's Name: test', 'First Six Digits of CUSIP: 123345', 'Business Code Type: Crop Production', and 'Business Code: 111300 Fruit & Tree Nut Farming'. The 'Collapse All' link is highlighted with a red box. The 'Additional Plan Information' and 'Plan Admin Information' sections are also visible.

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” button.

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New Year, New Look, same My PAA! PBGC is redesigning My PAA starting with the Home Page and Filing Details Page, see the details [here](#).

My PAA Topics

- New Year, New Look, same My PAA!
- Now accepting 2024 Filings
- What's new in My PAA & Login Process
- How to Make a Payment?
- Automated Filing Status Transitions and Emails
- PBGC's Premium Disaster Relief Policy
- Scheduled Outages

Create New / Add Existing Plan

Plan List

In-Process Filings

Upload or Import Filings

View Upload History

Supported Browsers: Google Chrome 119.0+, Microsoft Edge 119.0+, Firefox 120.0+ (Release 5.7 as of 04/15/2024)

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.

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Upload or Import Filings

Current File Name: PBGC TEST 1.XML

1 Schema Validation	✓
2 Plans & Roles	✓
3 In-Process Filings	✓
4 Filing Data Validation	✓
5 Certification	

Filing Data Validation

[Instructions](#)

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'.

#	EIN/PN	PYC	Plan Name	
1	223435674/001	01/01/2024	PBGC TEST PENSION PLAN	FILING SUMMARY

[SAVE AND EXIT](#) [CANCEL UPLOAD](#) [PROCEED TO CERTIFY](#) [IMPORT XML](#)

Cancel Upload ✕

Are you sure you'd like to cancel this upload? This is a permanent action. To proceed, click the 'Confirm Upload Cancellation' button below

[CANCEL](#) [CONFIRM UPLOAD CANCELLATION](#)

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.

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Upload or Import Filings

Current File Name: PBGC TEST 1.XML

1 Schema Validation	✓
2 Plans & Roles	✓
3 In-Process Filings	✓
4 Filing Data Validation	✓
5 Certification	

Certification

Number of Filings: 1

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.

☐ I have read and agree with the Certification statement, above

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: What is your pet's name?

Secret Answer (Case Sensitive)

CERTIFY UPLOAD **SAVE AND EXIT** **CANCEL 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 and Submission” 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.

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Upload or Import Filings

Current File Name: PBGC TEST 1.XML

1 Schema Validation	✓
2 Plans & Roles	✓
3 In-Process Filings	✓
4 Filing Data Validation	✓
5 Certification	✓
6 Payment Options	

Select Payment Option

[Instructions](#)

Your upload certification has been completed, **but the filing has not been submitted yet**. A payment option must be selected before this filing can be submitted to the PBGC for processing. Click the "Proceed to Payment and Submission" button below to proceed.

[SAVE AND EXIT](#) [PROCEED TO PAYMENT AND SUBMISSION](#)

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Submit a Payment

Published 06/02/2020 10:29 AM | Updated 04/27/2021 04:07 PM

Select Payment Option

Comprehensive Filing for Plan Year Commencing 04/01/2024
PBGC TEST PENSION PLAN - 223435674 / 001

Please select one of the following payment 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.

☐ 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).

[Cancel](#) [Next](#)

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.

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[Return to Plan List](#)

Plan Details Page

Plan Name: PBGC TEST PENSION PLAN Plan ID: 228739 Plan Status: Active EIN: 223435674 PN: 001 Effective Date: 01/01/1999 Plan Sponsor: PBGC TEST PENSION PLAN

Create Filing Submit Request Manage Roles Payment Voucher Submit Payment

View Request Status View Correspondence Account History

Premium Filings Team Members Admin/Contact Details My PAA Payment Summary

Premium Filings

The table below lists all premium filings for this Plan (EIN/PN). To navigate to the Filing Details page for a specific filing, place your cursor over the desired Filing ID and select the Filing Details button. To view/print a PDF version of your filing, select the Filing Receipt button for the appropriate row. To amend a previously submitted filing, select the Amend button for the appropriate row.

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Filing ID	PYC	Submit Date	Status	Action	View PDF
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