

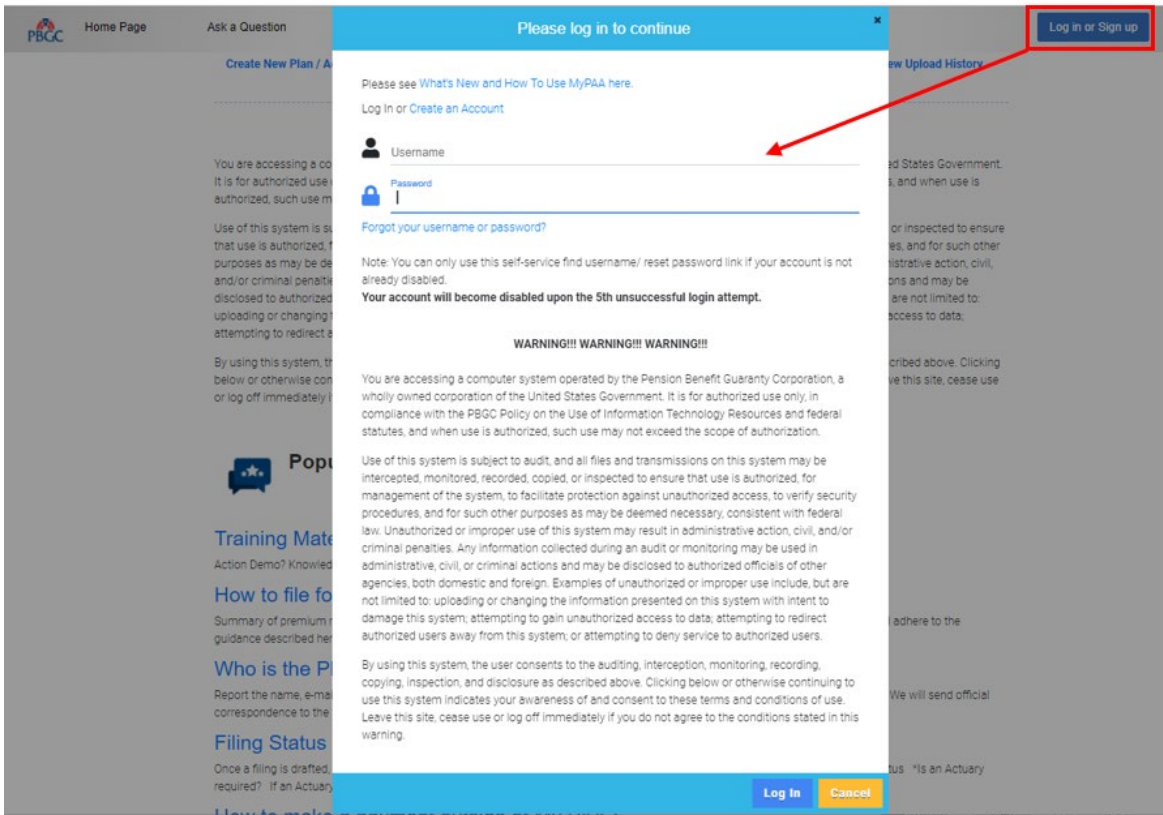
# **How to View Upload History My Plan Administration Account (My PAA)**

Last Updated:  
March 21<sup>st</sup>, 2021

# How To View an Account History

## Login

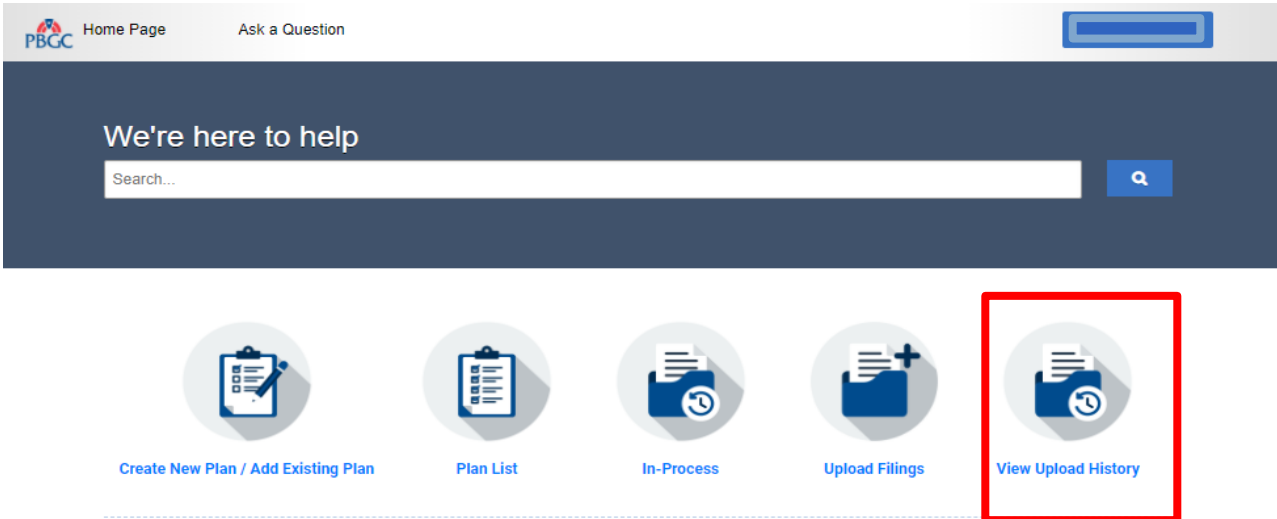
- ▶ From the Home Page, click on the "Log in or Sign up" button to log in.
- ▶ Enter your Username into the field labeled username on the My PAA log in pop-up
- ▶ Enter your Password into the field labeled "Password."
- ▶ Click on the "Log in" button.



# How to View Upload History

## View Upload History

- ▶ Once you have logged in, click on the “View Upload History” icon or link from the Home Page.
- ▶ It is important to note that this list will only display Upload Filings. If you would like to view any My PAA screen prepared in-process filings, you will need to click on the “In-Process” icon or link from the Home Page.



**WARNING!!! WARNING!!! WARNING!!!**

You are accessing a computer system operated by the Pension Benefit Guaranty Corporation, a wholly owned corporation of the United States Government. It is for authorized use only, in compliance with the PBGC Policy on the Use of Information Technology Resources and federal statutes, and when use is authorized, such use may not exceed the scope of authorization.

Use of this system is subject to audit, and all files and transmissions on this system may be intercepted, monitored, recorded, copied, or inspected to ensure that use is authorized, for management of the system, to facilitate protection against unauthorized access, to verify security procedures, and for such other purposes as may be deemed necessary, consistent with federal law. Unauthorized or improper use of this system may result in administrative action, civil, and/or criminal penalties. Any information collected during an audit or monitoring may be used in administrative, civil, or criminal actions and may be disclosed to authorized officials of other agencies, both domestic and foreign. Examples of unauthorized or improper use include, but are not limited to: uploading or changing the information presented on this system with intent to damage this system; attempting to gain unauthorized access to data; attempting to redirect authorized users away from this system; or attempting to deny service to authorized users.

By using this system, the user consents to the auditing, interception, monitoring, recording, copying, inspection, and disclosure as described above. Clicking below or otherwise continuing to use this system indicates your awareness of and consent to these terms and conditions of use. Leave this site, cease use or log off immediately if you do not agree to the conditions stated in this warning.

# How to View Upload History

## View Upload History Page

- ▶ If action (i.e., certification or selection of payment method) is still required before the filing is successfully sent to PBGC it will be highlighted in blue.
  - Click either the “Certification” button to proceed to certify or the “Payment” button to select a payment method.
- ▶ You will be able to “Cancel” an upload from this page if the filing has not already been submitted to PBGC.
- ▶ The list of uploaded XMLs will be displayed in descending chronological order.

The screenshot shows the PBGC website interface. At the top, there is a navigation bar with 'Home Page', 'Ask a Question', a search bar, and a user profile 'johndoe@g...'. Below this is a dark blue header with the text 'Upload History'. The main content area features a table titled 'Historical Uploads' with the following data:

#	Filename	Attempt Date/Time	Upload Status	Certification	Payment	Cancel Upload	
1	Test 4 PBGC File.xml	03/21/2021 04:51:12 PM	Submitted	CERTIFICATION	PAYMENT	CANCEL UPLOAD	+
2	Test 3 PBGC File.xml	03/21/2021 04:50:42 PM	Upload Pending Payment	CERTIFICATION	<b>PAYMENT</b>	<b>CANCEL UPLOAD</b>	+
3	Test 1 PBGC File.xml	03/21/2021 04:49:58 PM	Upload Warning	<b>CERTIFICATION</b>	PAYMENT	<b>CANCEL UPLOAD</b>	+
4	Test 1 PBGC File.xml	03/21/2021 04:46:33 PM	Cancelled	CERTIFICATION	PAYMENT	CANCEL UPLOAD	+
5	Test 6 PBGC File.xml	03/19/2021 04:37:26 PM	Upload Error	CERTIFICATION	PAYMENT	CANCEL UPLOAD	+

# How to View Upload History

## View Upload History Page

- ▶ To view the Filing Summary or Payment Voucher associated with an uploaded XML file, click on the '+' icon next to the "Payment" button.
- This will display additional filing information including Filing ID, EIN/PN, Plan Name and PYC
- You may view the Filing Receipt for any uploaded filing listed on this page.
- You may only view the Payment Voucher for XMLs that have or will successfully be submitted to PBGC; any XML file that does not have the "Upload Error" or "Upload Cancelled" as the Upload Status
- ▶ If there are any associated filing warnings or errors, you may also view these validations by clicking on the '+' icon next to the "Payment Voucher" button
- ▶ The following slides will show which items are available based on Upload Status.

The screenshot shows the PBGC upload history interface. At the top, there are navigation links for 'Home Page' and 'Ask a Question', a search bar, and a user profile 'johndoe@g...'. Below this, a table lists uploads. The first row shows an upload with ID 51, titled 'Test 4 PBGC File.xml', uploaded on 02/23/2021 at 08:48:39 AM, with a status of 'Upload Warning'. It has buttons for 'CERTIFICATION', 'PAYMENT', and 'CANCEL UPLOAD', and a '+' icon next to the 'CANCEL UPLOAD' button. Below this is a summary table with columns for '#', 'Filing ID', 'EIN/PN', 'Plan Name', 'PYC', 'Filing Summary', and 'Payment Voucher'. The first row in this table has ID 1, Filing ID 212116, EIN/PN 111111111/001, Plan Name TEST PENSION PLAN, PYC 01/01/2021, and buttons for 'FILING RECEIPT' and 'PAYMENT VOUCHER', with a '+' icon next to the 'PAYMENT VOUCHER' button. At the bottom, there is a table for warnings with columns for '#', 'Summary', 'Type', and 'Description'. It lists two warnings: one about the plan year commencing date and another about the plan effective date.

# How to View Upload History

## Submitted Status

- ▶ When the XML file Upload Status is “Submitted” the Comprehensive Premium Filing has been certified and a payment method has been selected, and all data has been sent to PBGC
- ▶ The following items will be available to view associated with the XML:
  - The Certification and Payment are greyed out and unavailable to select, since the file has already been sent to PBGC
  - The Filing Receipt and Payment Voucher are available to view
  - If there are any filing warnings, that will also be available to view.

*Note: You may submit a filing with warnings, but if the filing has errors, it must be corrected before being submitted to PBGC.*

The screenshot shows the PBGC web application interface. At the top, there is a navigation bar with 'Home Page', 'Ask a Question', a search bar, and a user profile 'johndoe@g...'. Below this is a table of upload history. The first row is highlighted with a red box and shows a submission with ID 7, filename 'Test 9 PBGC File\_Updated\_AD.xml', timestamp '03/15/2021 12:54:55 PM', and status 'Submitted'. To the right of this row are buttons for 'CERTIFICATION', 'PAYMENT', and 'CANCEL UPLOAD', and a minus sign icon. Below this is a table with columns for '#', 'Filing ID', 'EIN/PN', 'Plan Name', 'PYC', 'Filing Summary', and 'Payment Voucher'. The first row in this table shows a filing with ID 1, Filing ID 211891, EIN/PN 231111111/001, Plan Name 'Test Plan', and PYC '01/01/2021'. To the right of this row are buttons for 'FILING RECEIPT' and 'PAYMENT VOUCHER', and a minus sign icon. Below this is a table with columns for '#', 'Summary', 'Type', and 'Description'. The first row shows a warning with ID 1, Type 'Warning', and Description: '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.'

# How to View Upload History

## Upload Warning Status

- ▶ When the XML file Upload Status is “Upload Warning” the Comprehensive Premium Filing is awaiting certification and a selected payment method before being sent to PBGC.
- ▶ The following items will be available to view associated with the XML:
  - The “Certification” button is available for the upload preparer to Certify the filing
  - The “Payment” button will be available to select a payment method once the filing has been certified.
  - The Filing Receipt and Payment Voucher are available to view.
  - The associated filing warning(s) will be viewable.

The screenshot shows the PBGC upload history 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 this, there is a table of uploads. The first row is highlighted with a red box and contains the following information: ID 51, filename 'Test 4 PBGC File.xml', upload date '02/23/2021 08:48:39 AM', and status 'Upload Warning'. To the right of this row are three buttons: 'CERTIFICATION' (highlighted with a red box), 'PAYMENT', and 'CANCEL UPLOAD'. A red arrow points from the 'CERTIFICATION' button to a minus sign icon in the 'Payment Voucher' column of the second row. Below the main table is a section for warnings with columns for '#', 'Summary', 'Type', and 'Description'. It lists two warnings: one about the plan year commencing date and another about the plan effective date.

#	Filing ID	EIN/PN	Plan Name	PYC	Filing Summary	Payment Voucher
51	Test 4 PBGC File.xml	02/23/2021 08:48:39 AM	Upload Warning		CERTIFICATION	PAYMENT CANCEL UPLOAD
1	212116	111111111/001	TEST PENSION PLAN	01/01/2021	FILING RECEIPT	PAYMENT VOUCHER

#	Summary	Type	Description
1		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.
2		Warning	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.

# How to View Upload History

## Upload Pending Payment Status

- ▶ When the XML file Upload Status is “Pending Payment,” the Comprehensive Premium Filing has been certified, but a payment method has not been selected. The filing has not been sent to PBGC.
- ▶ The following items will be available to view associated with the XML:
  - The “Certification” button is greyed out and unavailable to select
  - The “Payment” button is highlighted in blue and must be selected to submit the filing to PBGC
  - The Filing Receipt and Payment Voucher are available to view
  - If there are any filing warnings, those will also be available to view.

The screenshot shows the PBGC user interface. At the top, there is a search bar and a user profile dropdown for 'johndoe@g...'. Below this is a navigation bar with 'CERTIFICATION', 'PAYMENT', and 'CANCEL UPLOAD' buttons. The main content area displays a table of uploads. The first row is highlighted with a red box and shows a file named 'Test 3 PBGC File.xml' with an upload status of 'Upload Pending Payment'. To the right of this row are three buttons: 'CERTIFICATION' (greyed out), 'PAYMENT' (highlighted in blue), and 'CANCEL UPLOAD' (red). A red arrow points from the minus sign icon on the right of this row to the 'PAYMENT' button. Below this is another table with columns for '#', 'Filing ID', 'EIN/PN', 'Plan Name', 'PYC', 'Filing Summary', and 'Payment Voucher'. The first row in this table shows a filing with ID 212115 and EIN/PN 123456789/001. To the right of this row are two buttons: 'FILING RECEIPT' and 'PAYMENT VOUCHER', both highlighted in blue. A red arrow points from the minus sign icon on the right of this row to the 'PAYMENT VOUCHER' button. At the bottom, there is a table with columns for '#', 'Summary', 'Type', and 'Description'. It lists two warnings: one about the plan year commencing date and another about the plan effective date.



# How to View Upload History

## Upload Error Status

- ▶ When the XML file Upload Status is “Upload Error,” My PAA has found filing errors that must be corrected before submitting to PBGC. A new XML with the changes must be uploaded again.
- ▶ The following items will be available to view associated with the XML:
  - The “Certification” and “Payment” buttons are greyed out and unavailable to select
  - The Filing Receipt is available to review
  - The Payment Voucher is greyed out and unavailable to select
  - The associated filing error(s) and warnings, if any, will be displayed by clicking the ‘+’ icon next to the greyed out “Payment Voucher” button.

The screenshot shows the PBGC web interface. At the top, there is a navigation bar with 'Home Page', 'Ask a Question', a search bar, and a user profile 'johndoe@g...'. Below this is a table of upload history. The first row is highlighted with a red box and shows a file named 'Test 6 PBGC File.xml' with an 'Upload Error' status. To the right of this row are buttons for 'CERTIFICATION', 'PAYMENT', and 'CANCEL UPLOAD', all of which are greyed out. A red box highlights a minus sign icon next to the 'CANCEL UPLOAD' button, with a red arrow pointing to it. Below this is another table with columns for '#', 'Filing ID', 'EIN/PN', 'Plan Name', 'PYC', 'Filing Summary', and 'Payment Voucher'. The first row in this table shows a filing ID of 212104 and a plan name of '2016 ME Test Plan'. The 'Filing Summary' column contains a blue 'FILING RECEIPT' button, and the 'Payment Voucher' column contains a greyed-out 'PAYMENT VOUCHER' button. A red box highlights a minus sign icon next to the 'PAYMENT VOUCHER' button, with a red arrow pointing to it. Below this is a third table with columns for '#', 'Summary', 'Type', and 'Description'. It lists six error messages related to the filing, such as 'Since you reported this is a continuation plan, the PBGC has prepopulated this plan as the transferee plan...' and 'The Flat Rate Premium supplied in the XML of \$1,080.00 does not match our calculated amount of \$2,430.00'.

# How to View Upload History

## Upload Cancelled Status

- ▶ When the XML file Upload Status is “Cancelled” or “Upload Cancelled” the user has stopped the uploading process before My PAA has completed all the necessary validation to submit the filing to PBGC.
- ▶ The following items will be available to view, associated with the XML:
  - The Certification and Payment are greyed out and unavailable to select
  - The Filing Receipt is available to review
  - Depending on when the file was cancelled, the “Payment Voucher” button may or may not be greyed out and unavailable to be select
  - If there are any associated filing errors and/or warnings, they will be displayed by clicking the ‘+’ icon next to the greyed out “Payment Voucher” button.

The screenshot shows the PBGC web 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 this is a table of upload history. The first row is highlighted with a red box and shows a cancelled upload: #4, Test 1 PBGC File.xml, 03/21/2021 04:46:33 PM, Cancelled. To the right of this row are buttons for 'CERTIFICATION', 'PAYMENT', and 'CANCEL UPLOAD', all of which are greyed out. A red box highlights a minus sign icon to the right of the 'CANCEL UPLOAD' button. Below the upload history is a table of filing details. The first row shows filing #1 with ID 212113, EIN/PN 123456789/001, Plan Name PBGC test Plan, and PYC 01/01/2021. To the right of this row are buttons for 'FILING RECEIPT' and 'PAYMENT VOUCHER'. A red box highlights a minus sign icon to the right of the 'PAYMENT VOUCHER' button. Below the filing details is a table of errors and warnings. The first row shows a warning with summary 'The segment rates appear to be invalid based on the UVB date on this filing.' The second row shows a warning with summary '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.' The third row shows a warning with summary 'Participants should be counted on the first day of the plan year since you reported a de minimis merger transfer, the same day as the start of that plan year and the surviving plan is smaller than the transferor plan.'