

# How to Import Filings into My PAA Interview Screens

My Plan Administration Account (My PAA)

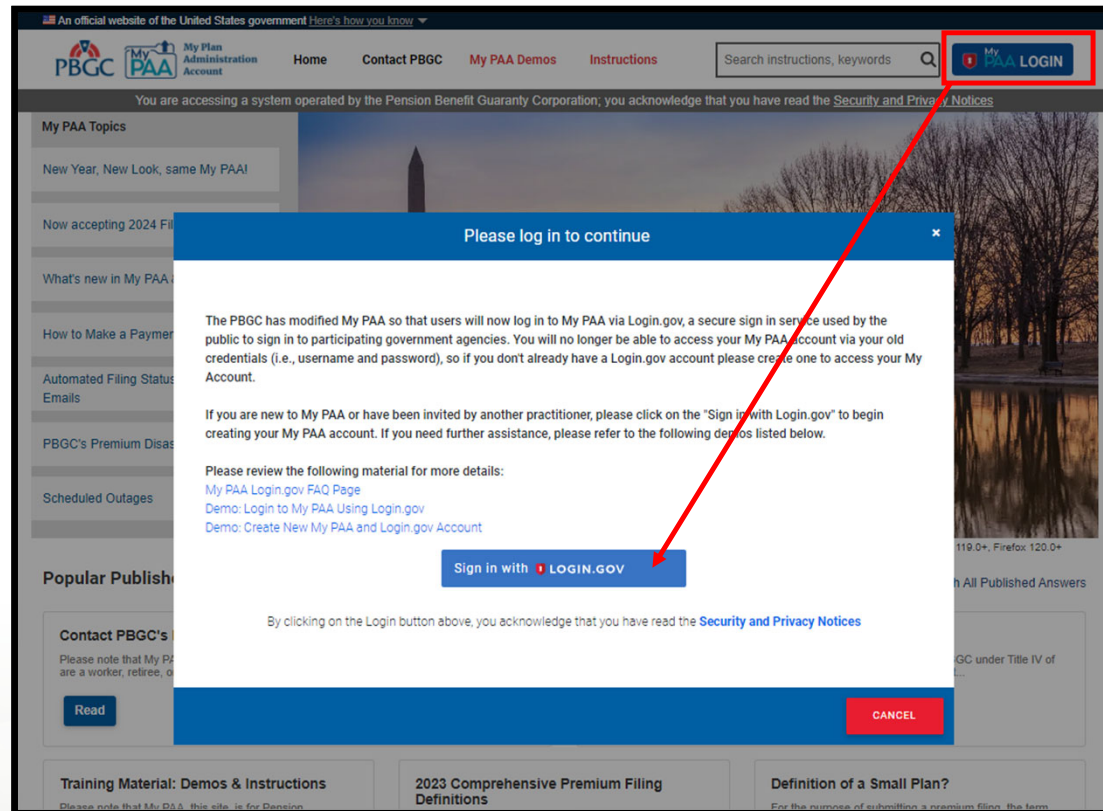
*Last Updated: January 08, 2024*



# How to Import a Filing

## Login

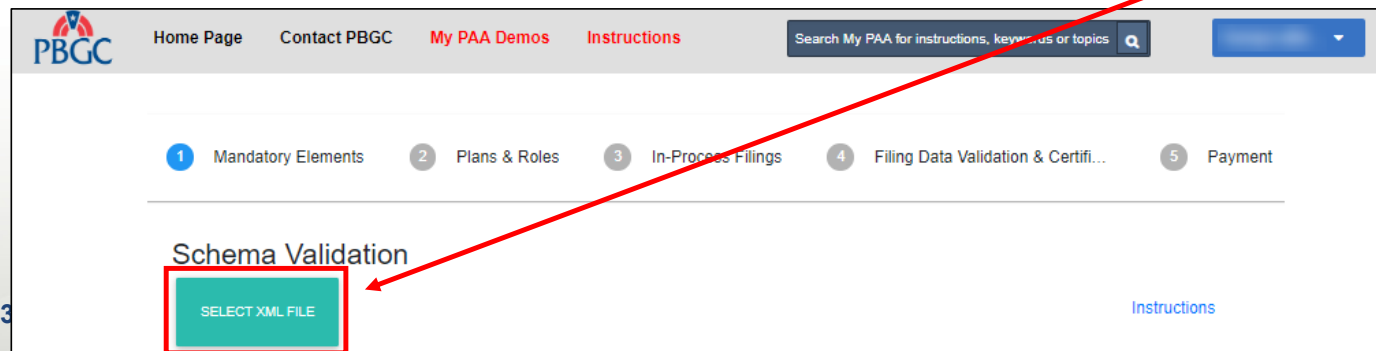
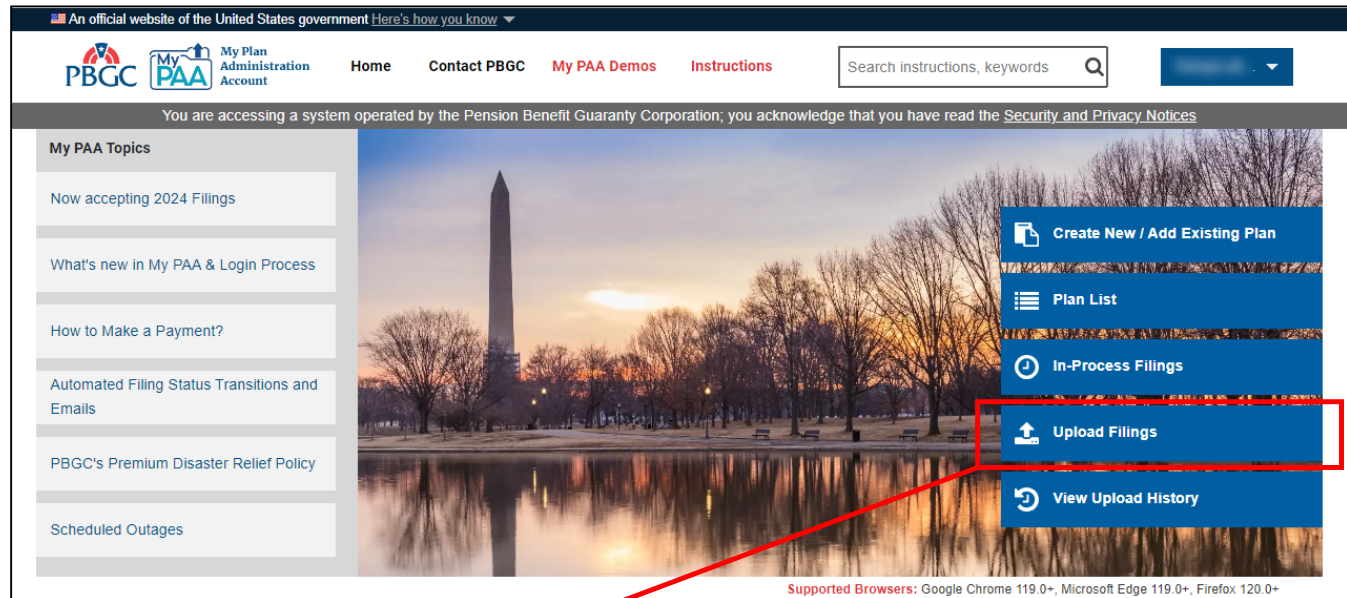
- From the Home Page, click on the “My PAA Login” button to log in.
- You will need to log in to your Login.gov account to access your My PAA account.
  - For more details and step-by-step instructions on how to access your My PAA account via Login.gov please view PBGC’s [How to Log in to My PAA Using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



# How to 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 with your My PAA account, and you must have the Upload Preparer role to successfully import an XML.



# 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.
  - 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 do not present any issues/errors, then the Filing Upload interview will skip to the last validation check, Business Rules.

The image displays two screenshots of the PBGC web interface. The top screenshot shows the 'Schema Validation' section with a green 'SELECT XML FILE' button highlighted. A red arrow points from this button to the file selection icon in the 'Filing Uploads' pop-up window. The bottom screenshot shows the same pop-up window with the file 'Test 1 PBGC File.xml' selected and the 'START UPLOAD' button highlighted with a red box. A red arrow also points from the 'SELECT XML FILE' button in the top screenshot to the 'START UPLOAD' button in the bottom screenshot.

# 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 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 Import a Filing

## Access Validation

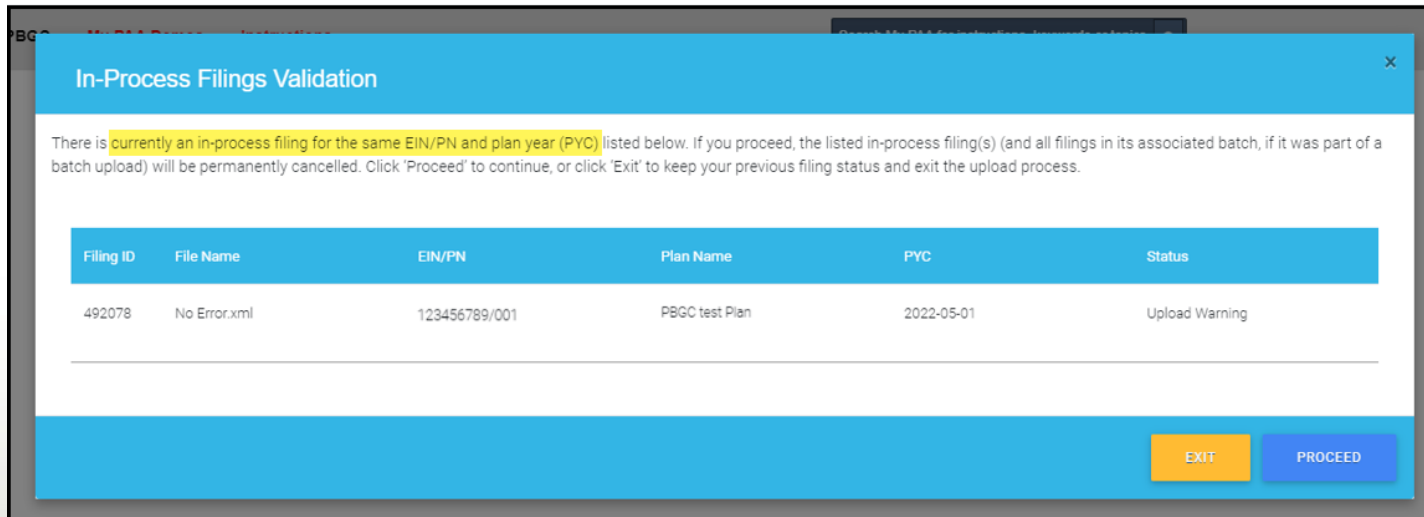
- After the schema has been validated, My PAA will then verify that the plan is in your account, and you have the Upload Preparer role for the plan.
- If you do not have the plan and/or upload preparer role associated with your My PAA account, you (or a filing coordinator if you are not assigned that 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.

The screenshots show the 'Access Validation' step in a multi-step process. The top screenshot displays an error message: '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'. The mitigation text states: '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.' The bottom screenshot displays an error message: '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'. The mitigation text states: '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.'

# 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 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.



In-Process Filings Validation

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 'Exit' to keep your previous filing status and exit the upload process.

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

EXIT PROCEED

# How to Import a Filing

## Import XML Pop-Up

- A pop-up confirming if you want to finish the filing and certification process through the My PAA data entry screens will appear upon clicking “Import XML” from the upload screens.

- If you click “Proceed to Data Entry Screens” you will be directed to the Filing Details Page. The filing will be in Draft status, and you must review the XML data via the online data entry screens before completing the certifications and selecting the plan’s payment method.

- If you click “Approve Draft” you will also be directed to the Filing Details Page, however, the filing will now be ready for the necessary certifications without having to review any filing data. We highly recommend you still verify the data brought over from the XML is valid, so please either view the Filing Summary and/or Filing Receipt prior to certifying and submitting the filing.

- 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.
- You also have the option to select “Cancel,” which will allow you to continue with the uploading process.

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The screenshot shows the PBGC My PAA interface. A pop-up window titled "Import XML" is displayed in the center. The pop-up contains the following text:

Note: Are you sure you want to Import the Filing XML as a screen prepared filing rather than continue as an uploaded filing?

Clicking Proceed to Data Entry Screens will update this filing to Draft status and allow you to view and update the filing data via the online data entry screens. All filing updates and certifications will be performed from the Filing Details page within My PAA. Please ensure you have the appropriate [roles](#) to complete these actions.

Because your uploaded filing did not trigger any validation errors, you are eligible to complete your Draft filing without having to view your filing data in the data entry screens. To proceed directly to the filing certifications on the Filing Details page, click Approve Draft.

The pop-up has three buttons: "CANCEL" (red), "PROCEED TO DATA ENTRY SCREENS" (purple, marked with a green "1"), and "APPROVE DRAFT" (blue, marked with a green "2").

In the background interface, the "IMPORT XML" button is highlighted with a red box. Red arrows point from this button to the two options in the pop-up.

#	EIN/PN	FIC	Plan Name
1	951235788/127	2023-01-01	Testing 2023 OPF



# How to Import a Filing

## Filing Details Page After Selecting an Option Import XML Pop-Up

The screenshot shows the PBGC Filing Details page for a plan named "MY PAA 2.0 PROD CUT OVER CREATE TEST PLAN". The plan is in "DRAFT" status. The filing progress bar shows "Draft Imported" as the current step, with "Draft Completion" as the next step. A red box highlights the "Edit Draft" button. The filing details table shows a filing ID of 504771, PYC of 08/01/2023, and an amount due of \$ 6,824.00. A yellow highlight on the text states: "This premium filing is currently in DRAFT status. As the Filing Preparer, select the EDIT DRAFT button to continue preparing this filing." Other buttons include "Filing Summary", "Filing Receipt", "Payment Voucher", and "Cancel Filing".

Filing ID	PYC	Amount Due	Submitted Date
504771	08/01/2023	\$ 6,824.00	__/__/

**Proceed to Data Entry Screens:** As mentioned on the previous page, you must review the data from the XML via the online data entry screens before continuing with the certifications. As a Filing Preparer, simply select "Edit Draft" and you will be directed to the appropriate screens for review/edit.

The screenshot shows the PBGC Filing Details page for the same plan, now in "PENDING ACTUARY APPROVAL" status. The filing progress bar shows "Draft Completion" as the current step, with "Actuary Certification" as the next step. A red box highlights the "Certify / Return for Edit" button. The filing details table shows a filing ID of 504772, PYC of 08/01/2023, and an amount due of \$ 6,824.00. A yellow highlight on the text states: "This premium filing is currently in PENDING ACTUARY APPROVAL status. As the Actuary, select the CERTIFY / RETURN FOR EDIT button to certify the filing or return to Draft status for filing edits. As the Filing Preparer, select the EDIT DRAFT button to edit the filing data. Please note that this action will revert the filing's status back to Draft status." Other buttons include "Filing Summary", "Filing Receipt", "Payment Voucher", and "Cancel Filing".

Filing ID	PYC	Amount Due	Submitted Date
504772	08/01/2023	\$ 6,824.00	__/__/

**Approve Draft:** By selecting this option on the previous screen, you will have the opportunity to go straight into the certification process, which includes selecting a payment method. Although you are not required to review the data that was imported from the XML, it is highly recommended you still review for validity purposes. You can review the data by simply click on "Filing Summary" or "Filing Receipt."

# How to Import a Filing

## Plan Admin Certification Saved from XML

- If you are certifying the filing as a Plan Admin Rep and the Plan Admin certification was included in the XML, then that information will automatically be populated in the Plan Administrator Details of the cert screen within My PAA.
  - This information is editable and can be changed in necessary.
  - 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.

The screenshot displays the My PAA web application interface. The top navigation bar includes the PBGC logo, 'My Plan Administration Account', 'Home', and 'Contact PBGC'. The main content area shows the 'Plan Header Details' for 'MY PAA 2.0 PROD CUT OVER CREATE TEST PLAN' with Plan ID 2420303. A 'Filing Progress' indicator shows 'PENDING ADMIN APPROVAL'. Below this, a 'Filing Details' table lists Filing ID 504767, PYC 08/01/2021, and Amount \$ 172. The 'Plan Administrator Details' section contains a red-bordered box around the following fields: Plan Administrator Name (Jane Doe), Email (janedoe@gmail.com), and Phone Number (123) 444-7070. A note below the fields states: 'This individual's information will appear in the 'Certification of Plan Administrator' section of the Comprehensive Premium Filing. It should be the actual Plan Administrator, not a third-party representative.'

# How to Import a Filing

## Filing Submitted

- Once the filing has been completed, certified and a payment method has been selected, then it will appear in the Premium Filings Section of the Plan Details Page.
- To download a copy of the submitted filing click on the “Filing Receipt” button for a PDF file.

The screenshot shows the 'Plan Header Details' for 'MY PAA 2.0 PROD CUT OVER CREATE TEST PLAN'. The 'Filing Task History' section shows a timeline of steps: Draft Imported, Draft Completion, Actuary Certification, Payment Option Selection, Administrator Certification, and Filing Submission to PBGC. The 'Filing Submission to PBGC' step is highlighted with a red box. The 'Filing Details' section shows the Filing ID (504773), PYC (08/01/2023), Amount Due (\$ 6,824.00), and Submitted Date (12/26/2023 04:18 PM EST), with the Submitted Date also highlighted by a red box. On the right, there are buttons for 'Filing Summary', 'Filing Receipt', and 'Payment Voucher'.

Premium Filings						
Show 10 entries		Search:				
Filing ID	PYC	Submit Date	Status			
504773	08/01/2023	12/26/2023	Submitted	FILING DETAILS	FILING RECEIPT	AMEND
504005	01/01/2020	10/02/2023	Submitted	FILING DETAILS	FILING RECEIPT	AMEND