



PBGC E-Filing with Pension Reporter

Presented by:
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Overview

- Registering as a Filing Coordinator
 - Powers and Responsibilities of the Filing Coordinator
 - Picking a Filing Coordinator
- Using Pension Reporter to Create the Filing
 - What to ignore on the forms
 - How to create the XML File
 - What to do if/when a Validation Error Occurs




Overview

- Upload Filing Method (Filing Option 3)
 - Advantages/Disadvantages
 - Filing Team Members Required
 - How to Upload the XML File
 - Certification Requirements
 - Payment Options
 - Record Retention Requirements




Overview

- Import Filing Method (Filing Option 2)
 - Advantages/Disadvantages
 - Filing Team Members Required
 - How to Import the XML File
 - Editing the Data
 - Certification Requirements
 - Payment Options
 - Record Retention Requirements



Overview

- Comparison of the Upload and Import Methods
- Summary



Registering as a Filing Coordinator

- All PBGC E-Filing begins with the Filing Coordinator
 - Only way to have a My PAA account is to be:
 - A Filing Coordinator for at least one plan (Important for Filing Option 3 – Upload), or
 - Be invited to join a Filing Team for a plan by a Filing Coordinator (Important for Filing Option 2 – Import)
 - Person adding a plan to My PAA is the Filing Coordinator



Registering as a Filing Coordinator

- The Filing Coordinator
 - Anyone can be a Filing Coordinator, as long as the Plan Administrator/Sponsor and the Enrolled Actuary agree.
 - To be a Filing Coordinator for a plan, or plans, the prior year's premium filing information must be manually entered into My PAA
 - Misspellings of plan names when added to My PAA can only be corrected by using data entry or import for the new premium filing – Upload will not fix it




Registering as a Filing Coordinator

- Filing Coordinator invites Filing Team members and assigns their My PAA permissions:
 - Sign and submit filings as a Plan Administrator
 - Sign Filings as an enrolled actuary
 - Authorize premium payments
 - View Account History
 - Serve as Filing Coordinator
 - Note: All filing team members can create and edit Imported filings




Registering as a Filing Coordinator

- Additional Filing Coordinator Permissions
 - The ability to retrieve a filing that a team member has not acted on and re-route it (Import)
 - Submit a filing – Plan Administrator can also submit (Import)
 - Recall a Scheduled Filing and Payment that was imported/data entered
 - Delete a Filing
 - Remove a Filing Team Member




Registering as a Filing Coordinator

- Picking the Filing Coordinator
 - Determined by the Filing Option to be used
 - Upload – Filing Option 3 only requires that the uploader have a My PAA account with one plan in it
 - Uploader does not have to be a Filing Coordinator, but if not must be invited by a Filing Coordinator for a plan
 - Uploader can upload any plan (Uploader certifies they have permission to Upload)
 - If the Uploader is not the actuary or the PA, certifications must be done on paper.



Registering as a Filing Coordinator

- Import – Filing Option 2 requires a Filing Coordinator and a Filing Team to complete the filing.
 - Every Team member must have the plan for which the filing is being done in their account
 - Every Plan must have a Filing Coordinator and a Filing Team
 - Filing Coordinator duties are more involved than for Upload
 - All certifications must be done electronically (No paper)



Registering as a Filing Coordinator

- To www.pbgc.gov for a brief overview of the Filing Coordinator process:
 - Practitioners | Online Premium Filing (My PAA)
 - How to Get Started
 - FAQs - What does it mean to be a Filing Coordinator...?
 - MyPAA Tips
 - Managing Your account – What can/cannot be changed
 - Managing Plans and E-Filing Teams
 - My PAA Online Demonstrations

Registering as a Filing Coordinator

- Once the New User Sign Up has been completed
 - Next screen confirms information entered and provides a chance to go back and correct, or submit
 - An email is sent with the information you will need to be able to sign on the first time
 - My PAA will generate User ID and Password
 - User then creates personal User ID and Password

Registering as a Filing Coordinator

From: MyPAA
 Sent: Tuesday, March 06, 2007 2:32 PM
 To: jerebep@worldnet.com
 Subject: TEST: PBGC: Welcome you to My PAA!

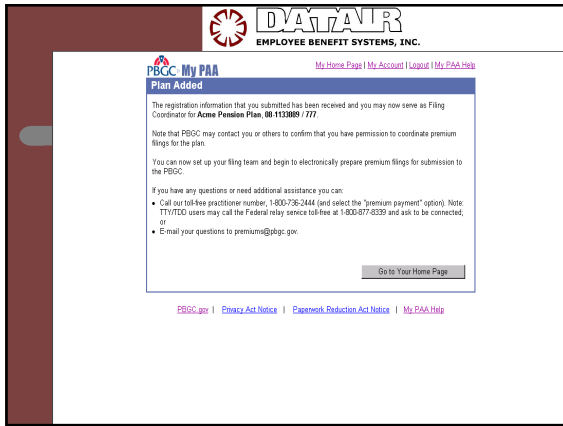
Thank you for opening an online account with My PAA. Follow these steps to activate your new account:

1. Click <http://myforset.us027.net/paa> to access the My PAA Login Screen. If this link does not work, you can retype it (or copy and paste it) into your browser's address window.
2. Retype (or copy and paste) the following system generated information into the appropriate fields on the My PAA Login Screen:
 - User ID: am002kew
 - Password: whit1up
3. Follow the on-screen instructions to create your own User ID and Password.

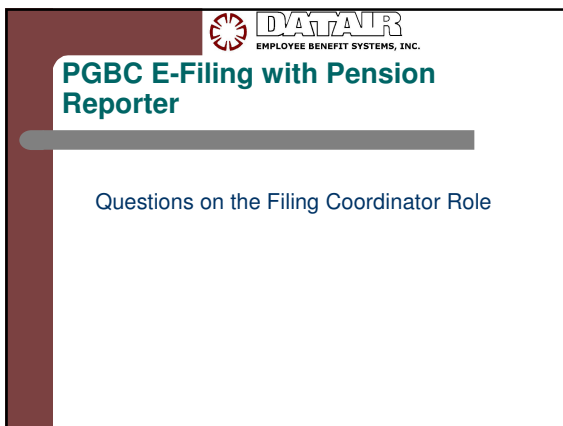
If you experience any difficulties accessing your new account, you can:


- Call our toll-free practitioners number, 1-800-795-2444 and select the "pension payment" option). Note: TTY/TDD users may call the Federal relay service toll-free at 1-800-877-8339 and ask to be connected; or
- E-mail your questions to pxcnlamb@ps.gov.

PLEASE DO NOT REPLY TO THIS E-MAIL











Using Pension Reporter to Create the Filing

- PBGC Forms in Pension Reporter serve 2 purposes
 - Actual filings for those few granted an e-filing waiver (for Premium Years prior to 2008)
 - Template for data input and file retention forms for Upload method
 - Item 3d and form of payment in Item 16 of the Form 1 and the Form 1-EZ apply to paper filers only – Not applicable for Upload or Import




Using Pension Reporter to Create the Filing

- A Pension Reporter Demonstration of:
 - How to create the XML file after the forms have been completed
 - What to do if a Validation Error message occurs while creating the XML file




PBGC E-Filing with Pension Reporter

Questions on Pension Reporter




Upload - Filing Option 3

- Advantages
 - Good Starting point for E-filing
 - In-house paper procedures easily translate to Upload
 - Only difference for Employer is not mailing the form to the PBGC and including the Check Voucher instead.
 - Only need an Uploader (with My PAA account) and Employer's check to complete the filing
 - No need to train Clients
 - Confirmation receipt is generated by My PAA as soon as the Uploaded file is received



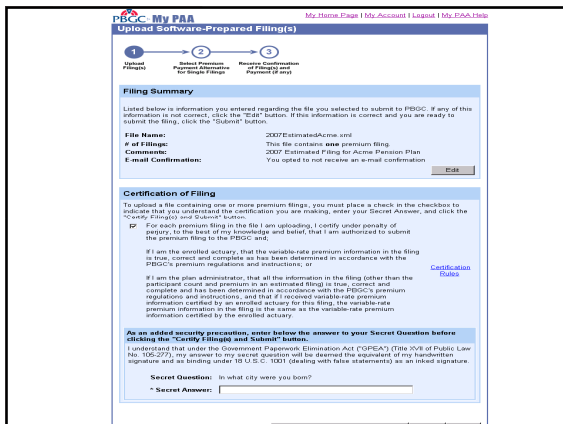
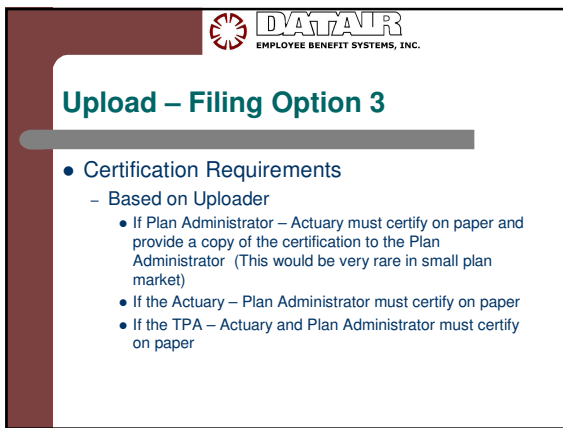
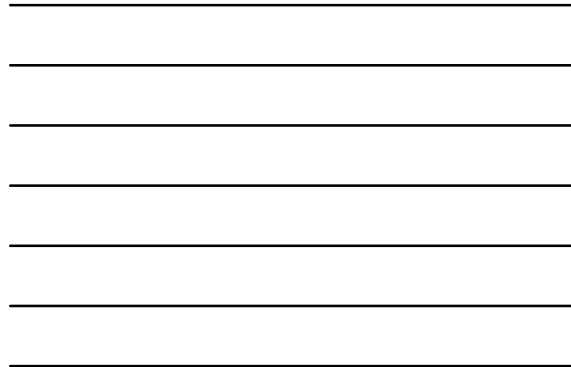
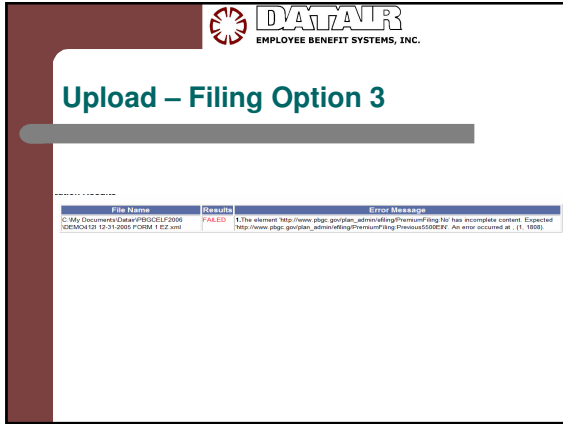
Upload – Filing Option 3


- Disadvantages
 - Actuary and/or Plan Administrator must Certify the filing on paper within 2 weeks of the Upload
 - If the Actuary is the Uploader, then only the Plan Administrator must certify on paper
 - Unable to verify that the filing is complete through My PAA
 - No Ability to edit the data once the file is uploaded (Amended form upload would be required)



Upload – Filing Option 3


- How to Upload an XML file
 - www.pbgc.gov
 - Demo





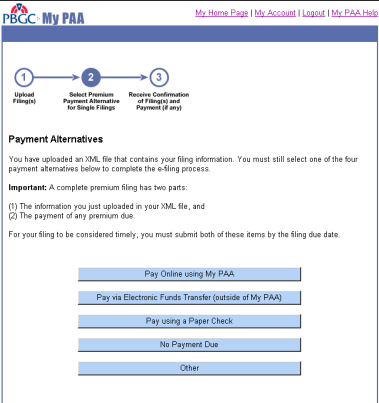
Upload – Filing Option 3

- Required Record Retention
 - Signed copies of the forms must be retained for 6 years and the PBGC Filing receipt number must be written on the signed form.



Upload – Filing Option 3

- Payment Options
 - Check
 - ACH generated outside My PAA



My Home Page | My Account | Logout | My PAA Help

1 Upload Filing(s) → 2 Select Premium Payment Alternative for Single Filings → 3 Receive Confirmation of Filing and Payment (if any)

Payment Alternatives

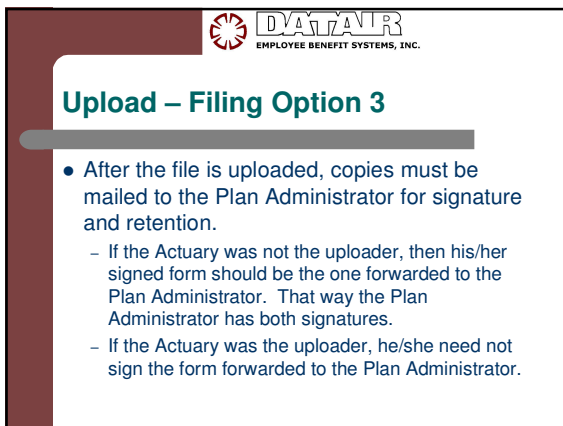
You have uploaded an XML file that contains your filing information. You must still select one of the four payment alternatives below to complete the e-filing process.

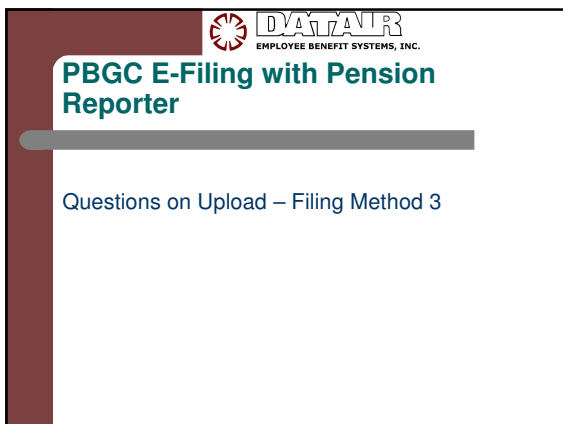
Important: A complete premium filing has two parts:
(1) The information you just uploaded in your XML file, and
(2) The payment of any premium due.


For your filing to be considered timely, you must submit both of these items by the filing due date.

- Pay Online using My PAA
- Pay via Electronic Funds Transfer (outside of My PAA)
- Pay using a Paper Check
- No Payment Due
- Other











Import – Filing Option 2

- Advantages
 - The Filing Coordinator can monitor every step of the filing process
 - Plan Administrator can easily check status of filing and pay the premium online
 - Actuary can monitor the process, e-sign it and know that if information is changed, it will be unsigned and returned to him/her for e-signature



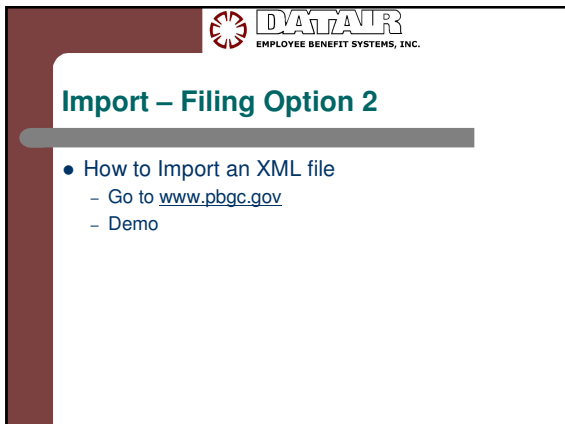
Import – Filing Option 2

- Disadvantages
 - Filing Coordinator MUST oversee the entire e-filing process
 - Every plan that is to be imported must be manually added to My PAA
 - Every member of filing team for a plan must be invited – Every plan must have a filing team
 - Email notifications are sent once – becomes the responsibility of the Filing Coordinator to make sure Filing Team members register and process




Import – Filing Option 2

- Filing Team Members required
 - Filing Coordinator – Should have a backup Filing Coordinator
 - Plan Administrator
 - Actuary
 - “Importer” – Can be any member of the Filing Team for the plan
 - Paying Agent (If designated to be other than Plan Administrator)



Import – Filing Option 2

- How to Import an XML file
 - Go to www.pbgc.gov
 - Demo



Welcome, Penelope Practitioner! | [My Account](#) | [Logout](#) | [My PAA Help](#)

Home Page

Add a Plan to your Account [Instructions](#)
There must be at least one plan in your account to e-file. [Add a Plan as Filing Coordinator](#)

Penelope Practitioner's Inbox (filings requiring your input) [Instructions](#)
Only for filings created using My PAA data entry screens and imported filings.

Filing	Routed to You	Plan Name (EIN/PIN)	
2007 Estimated		Plan XYZ (08-113389 / 777)	View/Manage Filing

Create Filing In My PAA Data Entry & Editing Screens (for any plan in your account)

Plans in Your Account [Instructions](#)

Plan Name (EIN/PIN)			
Acme Pension Plan (08-113389 / 777)	Go to Plan Page	Invite a Practitioner	Create Filing

Import Software-Prepared Filing(s) into My PAA Editing Screens [Instructions](#)
Import filing(s) for any plan(s) in your account. [Import Filing\(s\)](#)

Upload Software-Prepared Filing(s) [Instructions](#)
Upload filing(s) for any plan(s) once you have at least one plan in your account. [Upload Filing\(s\)](#)
You have not uploaded any software-prepared filings.

Helpful Links

- [What's New](#)
- [The ABC's of Premium Filing](#)
- [PBGC Customer Service Files](#)
- [Description About Downloadable Forms](#)



Import Software-Prepared Filings


Select the electronic file you created with your private-sector software that contains one or more premium filings to be imported into the My PAA editing screens for routing, filing (if necessary), signature, and submission to PBGC. Please note that if the electronic file includes filing information for the EIN/PIN and Plan Year of a filing currently in progress in the My PAA data entry and editing screens, including a filing that has been scheduled for a future submission, that filing will be overwritten with the one from the electronic file regardless of filing type (i.e., estimated or final).

Note: The file must be in a PBGC-defined XML format. [What does this mean?](#)

Select File: [Browse...](#)

[Import](#) [Cancel](#)

[PBGC.gov](#) | [Enquiry Act Notice](#) | [Paperwork Reduction Act Notice](#) | [My PAA Help](#)



Import – Filing Method 2

- If your Import fails
 - Do a Screenshot of the error message
 - With the plan open in PR, copy the plan out
 - Go to File | Transfer
 - Select Plan Copy Tab
 - Click Copy Out Plan Button
 - Make a note of where the .txt file is stored on your system.
 - Email the above items to Support@datair.com



PBGC My PAA [My Home Page](#) | [My Account](#) | [Logout](#) | [My PAA Help](#)


Import Software-Prepared Filing

You have successfully imported an electronic file that contains premium filing information for one or more plans in your account.

Select the "Go to My PAA Home Page" button. The filing(s) you imported will be listed on that page in your "inbox" section. From there, you can open a filing to edit it (if necessary), route it to another person on your "filing team," or provide the necessary signatures for submission to PBGC.

[Go to My PAA Home Page](#)

[PBGC.gov](#) | [Privacy Act Notice](#) | [Payment Reduction Act Notice](#) | [My PAA Help](#)



PBGC My PAA [My Home Page](#) | [My Account](#) | [Logout](#) | [My PAA Help](#)

Step 2: Edit Draft, Sign Filing, and Select Payment Alternative

Estimated Filing for Plan Year Commencing 3/1/2007
Acme Pension Plan
08-1133889 / 777

1 Draft Filing → 2 Edit Draft, Sign Filing, and Select Payment Alternative with Payment (if any) → 3 Submit Filing

Filing Manager [Delete Filing](#)

Filing Task List [Instructions](#)

If a change is made that affects the amount due or the variable-rate premium information (if any), all signatures and payment authorizations that have been collected will be removed from the filing. The filing will have to be re-signed and the payment reauthorized by all required parties.

[View/Edit Filing](#) This filing contains all the required information.

[Sign](#) Plan Administrator Signature Required
Actuary Signature Not Required

[Authorize](#) Paying Agent Authorization Required

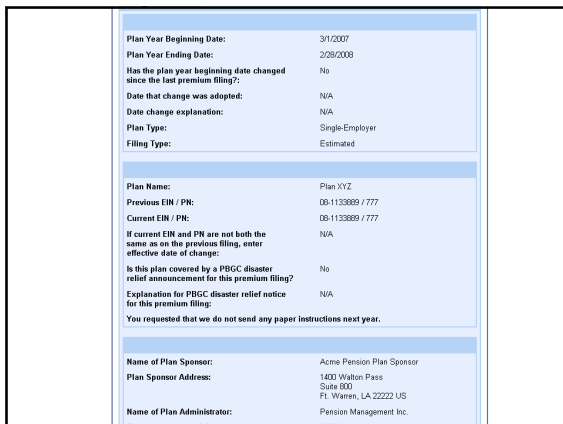
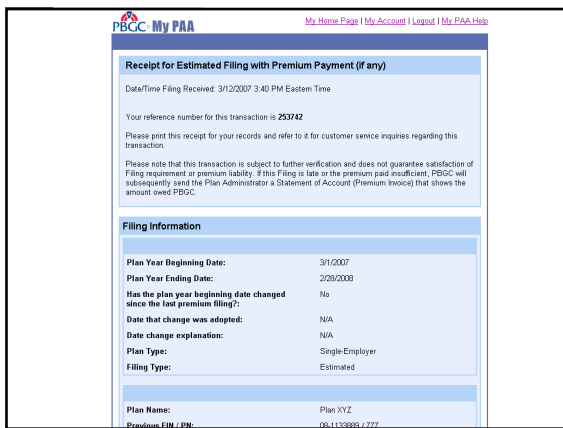
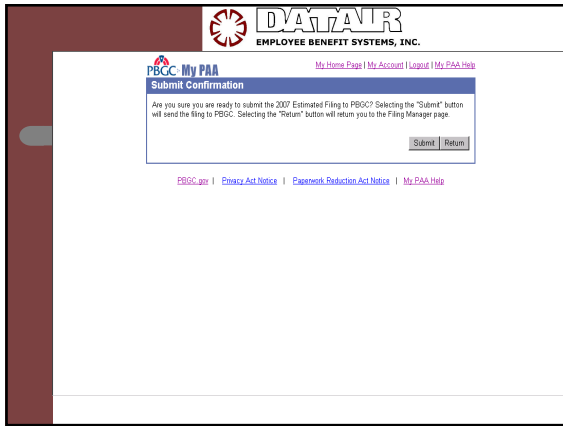
NOTE: THIS FILING HAS NOT YET BEEN SUBMITTED TO PBGC.


In order to submit the filing:

- The first item in the list above must state: "This filing contains all the required information."
- Each required signature item above must show a check mark rather than a "Sign" button.
- The payment authorization above (if required) must show a check mark rather than an "Authorize" button.

Once these three items are complete, the Plan Administrator and Filing Coordinator will see the Submit Filing option(s) in this space that will allow them to submit the filing to PBGC.


Routing [Instructions](#)






PBGC E-Filing with Pension Reporter

Questions on Import – Filing Option 2




Comparison of Upload and Import Filing Methods

- E-Filing Process for Upload
 - Forms prepared in PR
 - XML file created
 - XML uploaded thru My PAA
 - Forms mailed to Plan Administrator and/or Actuary for Certification within 2 weeks of the Upload
 - Plan Administrator instructed to mail check with check voucher




Comparison of Upload and Import Filing Methods

- E-Filing Process for Import
 - Forms prepared in PR
 - XML file created in PR
 - Filing Team members invited, if not already assembled
 - XML file Imported to My PAA
 - Registration of all Filing Team members verified
 - Filing routed for review to each Filing Team member in turn.




Comparison of Upload and Import Filing Methods

- E-Filing Process for Import (Cont'd)
 - Ensure that if second reviewer has modified the filing that the form is routed back to the first reviewer
 - Verify that all team members who must sign have e-signed the filing
 - Verify that the payment method has been chosen and entered if not a paper check
 - Submit the filing to the PBGC




Comparison of Upload and Import Filing Methods

- Filing Team Required
 - Upload – Only the Uploader
 - Import – Filing Coordinator, Actuary and Plan Administrator – All have to be registered on My PAA before e-filing
- Editing and Review of filing
 - Upload – Done In PR
 - Import – Done In PR or Inside My PAA




Comparison of Upload and Import Filing Methods

- Completion of all Forms
 - Upload must have all Forms that will be submitted (i.e., Form 1 and Schedule A)
 - Import can import a form and the balance done in MyPAA
- Signatures
 - Upload – On Paper (Unless Uploader is PA or Actuary)
 - Import – Electronic for all Filing Team Members




Comparison of Upload and Import Filing Methods

- Payment
 - Upload – Check, Fedwire or ACH outside My PAA, unless Uploader is also payer
 - Import – Within My PAA: ACH, e-check, credit card, OR outside My PAA: ACH, Fedwire or paper check
- Reminders
 - Upload – all done outside My PAA
 - Import – My PAA sends first notification and then all reminders are done outside My PAA



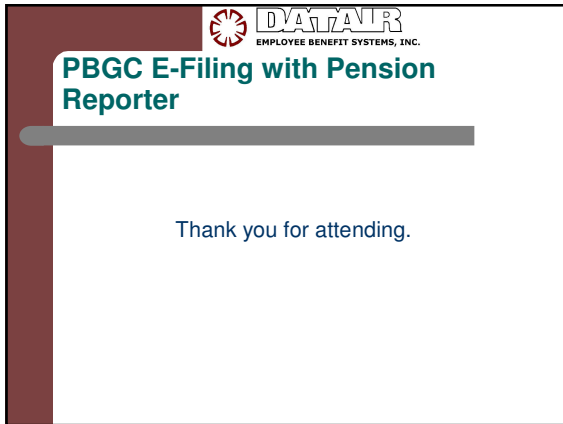
PBGC E-Filing with Pension Reporter

Questions?



PBGC E-Filing with Pension Reporter

Polling Question for You



The slide features a dark red vertical bar on the left side. In the top right corner, there is a logo for DATAIR Employee Benefit Systems, Inc. The main text on the slide reads "PBGC E-Filing with Pension Reporter" in a bold, dark green font. Below this title is a thick, dark grey horizontal bar. Centered on the slide is the text "Thank you for attending." in a blue font.
