

## Submitter / Software Developer AATS and Production Filing Transmission Checklist

This checklist covers both AATS and Production Filing for Software Developers, Transmitters and Issuers.

1. Preparation (Including Registration and Application)
  - Did your company's responsible officials and contacts register with eServices?
  - Did your company apply for a Transmitter Control Code (TCC)? Software ID(s)?
  - Does your company have a valid TCC? Software ID(s)?
  - Have you reviewed AIR Submission Composition and Reference Guide (CRG), Publication 5164 and 5165? (These documents can be found at [AIR User Guides & Publications](#)).
2. Pre-Filing – AATS and Production ( UI and A2A)
  - Have you followed the special characters guidance in Pub 5165 that prohibits use of Hash (#) and Double-Dash (--) characters and specifies the use of HTML escaped character equivalents, (e.g., "&amp;" for Ampersand)?
  - Have you downloaded the latest versions of Schema and Business Rules? (Schemas and Business Rules can be found at: [Affordable Care Act Information Returns Schemas and Business Rules](#))
  - Have you ensured that required Business Header data elements are present per the Schema?
  - Have you ensured that required Manifest data elements are present per Schema?
  - Have you ensured that required 1094/1095 B/Cs Form file data elements are present per Schema?
  - Are your manifest and data files well-formed eXtensible Markup Language (XML)?
  - Is the composition of your XML file in line with the CRG?
  - Have you run your manifest and form files through an XML Schema validator? <sup>1</sup>
  - Is your Transmission Form File uncompressed and sized under 100 MB?
3. Pre-Filing – AATS and Production (A2A Specific)
  - Have you received the latest version of Web Services Definition Language (WSDL)?
  - Does your Software Package support A2A?
  - Do you have a certificate from an approved source? (See [CRG](#) Section 5.3.2.5)
  - Have you registered the certificate in Automated Enrollment for A2A?
    - Have you reviewed the [Automated Enrollment For ACA Providers: The Externals Guide](#)?
    - When registering the certificate take note of your A2A Client System ID (ASID) for future troubleshooting, if needed.
      - Have you authorized the IRS-ACASubmitService?
      - Have you authorized the IRS-ACAACKngService?
  - Have you ensured all Security Header elements are present per Schema and CRG?
    - Have you digitally signed your Transmission?
      - Timestamp
      - ACABusinessHeader
      - ACATransmitterManifestReqDtl
    - Have you digitally signed your status request?
      - Timestamp
      - ACABulkRequestTransmitterStatusDetailRequest
      - ACABusinessHeader
    - Have you followed the format for timestamp?
  - Have you run your header and manifest and form file through an XML Schema validator?<sup>2</sup>
  - Is your Transmission [Hypertext Transfer Protocol \(HTTP\)](#)-compressed via gzip<sup>3</sup> for A2A? (See CRG, Section 4.1)
    - Is your file attachment [SOAP Message Transmission Optimization Mechanism \(MTOM\)](#) encoded?
    - Have you downloaded the latest versions of [Simple Object Access Protocol \(SOAP\)](#)?
  - Do you have the AIR endpoints for Transmission and status request?
  - Have you tested your sample SOAP message via a web service testing tool? (e.g. SoapUI)

<sup>1</sup> IRS recommends that external users validate their XML files against the schemas provided by the IRS prior to submitting them to the IRS. Taking this step will help avoid discovering errors after the XML file is submitted. Performing this validation on the user end makes it easier and faster to identify and locate schema types of errors. Any tool which allows the external user to validate their XML files against the schemas, such as "Altova XML Spy" or "SoapUI" should be suitable.

<sup>2</sup> See previous footnote.

<sup>3</sup> gzip - a freeware program available at [www.gzip.org](http://www.gzip.org)

4. Transmitting to IRS – AATS-UI

- Can you clearly link the manifest of each Transmission to the data file? – for example, each Transmission could be placed in a directory
- Are you in the upload screen of AATS?
- Have you named the form file per CRG guidance?
- Did you receive a 'ReceiptId'?
- Have you saved the 'ReceiptId' along with your copy of the Transmission as sent?
- Have you obtained a status?
- If the status is "Accepted," did you contact the help desk for confirmation and update of the TCC and/or Form Status? (Telephone Number 1-866-937-4130)
- If the status is "Accepted with Errors," Have you checked against the Scenarios and Pub 5164 and resubmitted?
- If the status is "Rejected," Have you checked against the scenarios / Pub 5164 as well as guidance above and resubmitted?

5. Transmitting to IRS – AATS-A2A

- Did you establish a connection with ISS-A2A?
- Have you submitted all Transmissions?
- Did you receive a 'ReceiptId'?
- Have you saved the 'ReceiptId' along with your copy of the Transmission as sent?
- Have you obtained a status?
- If the status is "Accepted," did you contact the help desk for confirmation and update of the TCC and/or Form Status? (Telephone Number 1-866-937-4130)
- If the status is "Accepted with Errors," Have you checked against the Scenarios and Pub 5164 and resubmitted?
- If the status is "Rejected," Have you checked against the scenarios / Pub 5164 as well as guidance above and resubmitted?

6. Transmitting to IRS – Production-UI

- Have you passed the AATS UI Communications Test?
- Can you clearly link the manifest of each Transmission to the data file? – for example, each Transmission could be placed in a directory
- Are you in the upload screen of Production –UI
- Have you named the form file per CRG guidance?
- Did you receive a 'ReceiptId'?
- Have you saved the 'ReceiptId' along with your copy of the Transmission as sent?
- Have you obtained a status?
  - If the status is "Accepted," No action required.
  - If the status is "Accepted with Errors," Have you reviewed the Error Data File to identify and correct errors?
  - If the status is "Rejected," can you locate the errors that triggered the rejection?
    - Did you resubmit using the Replacement Process?
    - Was your Replacement Accepted? – If not, have you fixed and resubmitted?

7. Transmitting to IRS – Production-A2A

- Have you passed the AATS A2A Communications Test?
- Did you establish a connection with Information Submission Service (ISS)-A2A?
- Have you submitted all Transmissions?
- Did you receive a 'ReceiptId'?
- Have you saved the 'ReceiptId' along with your copy of the Transmission as sent?
- Have you obtained a status?
  - If the status is "Accepted," No action required.
  - If the status is "Accepted with Errors," Have you reviewed the Error Data File to identify and correct errors?
  - If the status is "Rejected," can you locate the errors that triggered the rejection?
    - Did you resubmit using the Replacement Process?
    - Was your Replacement Accepted? – If not, have you fixed and resubmitted?