AIR Transmission Checklist (UI) for Tax Year 2015
Version 1.0, December 29, 2015

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 e-Services and complete the registration confirmation process?
   - ☐ Did your company apply for and receive a valid Transmitter Control Code (TCC)? Software ID(s)?
   - ☐ Has a responsible official signed the application with the PIN created during e-Services registration and for any subsequent application modifications?
   - ☐ Have you reviewed AIR Submission Composition and Reference Guide (CRG), Publication 5164 and 5165? (These documents can be found at <u>AIR User Guides & Publications</u>).
2. Pre-Filing – AATS and Production
   - ☐ Have you downloaded the latest versions of Schema and Business Rules? (Schemas and Business Rules can be found at: <u>Affordable Care Act Information Returns Schemas and Business Rules</u>)
   - ☐ 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 AIR Submission Composition & Reference Guide (CRG)?
   - ☐ Have you run your manifest and form files through an XML Schema validator? [1]
   - ☐ Is your Transmission Form File uncompressed and sized under 100 MB?
   - ☐ Have you ensured that namespaces have been defined and referenced correctly (See CRG Section 4.2.1 for samples)?
   - ☐ Have you ensured test file indicator correctly (See CRG Section 3.4.1)?
   - ☐ Have you ensured UTID set correctly per the schema and CRG specification (See CRG Section 5.3.3)?
   - ☐ Checks to avoid Data Element-driven Portal (TPE) Errors
     - ☐ 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., "&" for Ampersand)?
     - ☐ Are there commas or periods in the 'BusinessNameLn1' or 'BusinessNameLn2' or in 'AddressLine1' or 'AddressLine2'? If so, have you removed them?
     - ☐ Have you scanned my document for commented out element names, e.g., <!--urn2:ACABusinessHeader>? Note that any occurrence of double dash will trigger a potential threat error and rejection
   - ☐ If your Transmission has been rejected, have you updated your UTID? – Note that UTIDs are checked for uniqueness.
3. Transmitting to IRS – AATS
   - ☐ Did you use the correct TCC, Software Developer for AATS testing and Transmitter and/or Issuer for Communication Testing?
   - ☐ 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?
   - ☐ Have you saved the 'ReceiptId' along with your copy of the Transmission as sent?
   - ☐ Have you obtained a status?
   - ☐ If the status for all your required test submissions 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?
4. Transmitting to IRS – Production Environment
   - ☐ Have you passed the AATS UI Communications Test?
   - ☐ Is the software you are using approved through the AATS testing process?
   - ☐ 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

[1] 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.

- Have you named the form file per CRG guidance?
- 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,” Have you reviewed the Error Data File to identify and fix errors?
    - Did you resubmit the Transmission using the Replacement Process?
    - Have you provided the ‘OriginalReceiptId’ of the first-rejected Transmission?
    - Was your Replacement Accepted? – If not, have you fixed and resubmitted?
  - If the status is “Partially Accepted, Have you reviewed the Error Data File to identify and fix errors?
    - Did you resubmit the Rejected Submission(s) using the Replacement Process?
    - Have you provided the ‘OriginalUniqueSubmissionId’ of the first-rejected Submission?
    - Was your Replacement Accepted? – If not, have you fixed and resubmitted?