

BSA E-Filing System

Batch File Testing Procedures

Version 1.2

Version released: December 2009



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Purpose

The purpose of this document is to provide BSA E-Filing users with instructions to test batch file submissions. FinCEN requires testing with the BSA E-Filing User Test system of new/revised submission procedures, processes, and software used to submit batch files prior to submitting batch files to the production system. A batch BSA filing is an electronic file generated by a software program (either developed in-house or using a third party vendor's solution). The file typically contains multiple BSA forms (although it is possible for a batch to contain just one filing). Testing your batch file is a two step process:

Step 1: Upload your file until it passes the validation tests performed by the BSA E-Filing system. Validation rules include verifying record lengths, sequencing of the records in the file, and summary totals in the file.

Step 2: The BSA E-Filing system will transfer and load the validated file into the test database. A test acknowledgment file will be generated for each submission. A test Transmitter Control Code (TCC) is required to submit your test file. A TCC of TBSATEST must be used and inserted into the test batch file. Please work with your software vendor or service provider to ensure the test TCC is placed in the proper location within the file. The file specifications for each form type provide the exact location where the TCC should be entered. Once the file has passed validation, a

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production TCC for the BSA E-Filing system will be provided to the submitter via e-mail.

Submission Methods

There are currently three submission methods available to transmit your BSA Files to FinCEN. The file format for each submission type is exactly the same and is based on the requirements documented on the FinCEN web site under BSA E-Filing Electronic Filing Specifications

(http://www.fincen.gov/forms/bsa_forms/).

1. BSA E-Filing Web Site Users

For this method of submission, filers connect and login to the BSA E-Filing system web site and then securely upload their batch file from their local computer to the web site.

2. Secure Direct Transfer Mode (SDTM) Filers

SDTM allows for a secure, system to system mechanism for transferring batch submissions from your organization's internal server to the BSA E-Filing server. The batch submission process can be automated such that user intervention/involvement is minimized. There is no interaction with the BSA E-Filing system web site for the upload of the batch file but the BSA E-Filing system web site is used to track the status of the submissions.

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Testing Steps

The BSA E-Filing system has a User Test site used for uploading test files. For each one of these submission methods, the following testing steps are required.

1. Apply for a user account on the BSA E-Filing User Test system.

In order to receive an account on the User Test system, please click on the Become a BSA E-Filer button and follow the steps to enroll at the following link:

<http://sdtmut.fincen.treas.gov>

It is recommended the person who will be uploading the test file be listed in the User Information section at the top of the application. FinCEN will vet this application within two business days and an e-mail will be sent to the approved user identified in the application with the user ID and specific instructions on how to create and upload your test file.

2. Upload a test batch file on the BSA E-Filing User Test system.

The test data should consist of a set of sample returns, containing test data. The test file should contain between 50 and 100 documents for CTR filings and between 25 and 50 documents for SAR filings. The data in the file should be test data and not contain any valid Social Security numbers or customer data. **The test batch file must contain the following test Transmitter Control Code (TCC): TBSATEST.** The electronic filing specifications provide the exact location where this code should be placed in the test batch file. The exact process and screen shots to upload your test file will be provided to you in the e-mail you receive with your BSA E-Filing User Test system account. If there are any formatting issues discovered during processing of your test batch file, the BSA E-Filing User Test system will provide the error codes and descriptions of the error to you in the Track Status portion of the web site.

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Once your file has a status of Accepted in the Track Status portion of the application, the BSA E-Filing User Test system has verified the format of your test batch file. The test batch file will be transmitted to the BSA E-Filing User Test system for final validation and loaded into the test database. A test acknowledgement file will be generated and loaded back into the BSA E-Filing User Test system for download for CTR, CTR-C, and DEP filings. The final validation on the submitted test batch file should be completed within 10 days. FinCEN will notify the test filer of the status of their filings via e-mail within 10 business days and provide the production TCC to be used for filing on the production system.

Once your file has passed validation and you have received the production BSA E-Filing system TCC, you are ready to start batch filing on the production BSA E-Filing system. If you have not already applied for a production BSA E-Filing system account, please select the 'Become a BSA E-Filer' button using the following link: <http://bsaefiling.fincen.treas.gov> and the system will take you through the enrollment process. FinCEN will vet your application and provide you with a production BSA E-Filing system user ID within five business days.

Please check your URL address to ensure that you are not sending test data to the production BSA E-Filing system. During testing, the URL address must start with <https://sdtmut1.fincen.treas.gov> as that is the address for the User Test system. During testing, the URL address must not start with <https://bsaefiling1.fincen.treas.gov> as that is the address for the production system.

Help Desk Support

If you have additional questions about the testing procedures or need more information, please contact the BSA E-Filing Help Desk at 1-888-827-2778 (option 6) or BSAEFilingHelp@notes.tcs.treas.gov. The Help Desk regular hours of operation are 8:00 am - 6:00 pm East Coast Time, Monday - Friday. Please note that the Help Desk is closed on Federal holidays.

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