



State of Indiana, Department of Revenue
Electronic Taxpayer Service Center

Bulk Upload Guide

(Revised Aug. 1, 2010)

The following document focuses on the process of filing bulk returns through the Department's secure File Transfer Protocol (FTP) site. It applies to the following return types: WH1 and WH3

Bulk Filers

The bulk upload facility provides taxpayers filing large amounts of data a tool to electronically submit returns to the Indiana Department of Revenue. Bulk upload files are created offline, and then submitted to the Department for processing. The files are queued and processed sequentially within a couple of hours. During high-volume processing there may be a delay in processing.

Ideally, each bulk upload file should contain between 500 and 250,000 entry lines. If there are more than 250,000 entries, more than one file should be considered. If you have less than 2,000 W2s, please consider registering and filing on the Department's INtax Web site at <https://www.intax.in.gov/Web>

Small to Medium Taxpayers: Submit the Data Through INtax

Small to medium taxpayers would include those with more than 25 wage statements, but less than 2,000. The total number of wage statements are calculated per file regardless of the number of taxpayers in the file. One online method of submitting data is through the Department's free INtax Web site. It is designed for manual entry or uploading of WH-3 files from Indiana taxpayers to the Department. This is done by going to the Withholding Tax section of the program and selecting to file a form WH-3. You then have the option to upload a file or enter the data manually. The uploaded file should not be larger than 2Mb. This web interface upload does not accept encrypted data.

Large Taxpayers: Submit the Data Through Bulk Online Submission

Large taxpayers are those submitting files containing more than 2,000 wage statements. This usually applies to large service providers or software vendors. Online batch upload allows taxpayers to send a data file directly through the Department's secure FTP site. This file must be named according to guidelines, be in the prescribed format, and encrypted using Pretty Good Privacy (PGP).

When the file has passed the basic format checks, it is forwarded onto the bulk upload queue and processed. Once the process is complete, an e-mail will be sent to the authorized representative with the results of the submission. Note that if any of the records have invalid or incorrectly formatted data, the entire return will be rejected. The error message will list the returns that require correcting. After correcting these returns, only the failing returns will need to be resubmitted to the Department.

Overview

Filing Bulk Returns Through Secure FTP

Below is an outline of the steps needed to file bulk returns through the Department's secure FTP site. The file layout of the specific return being filed must adhere to the following instructions and requirements to be accepted by the Department.

1. INtax Registration

To file using Bulk Upload, all submitters must be registered on the Department's INtax Web site. It is not necessary to register your clients on the INtax site; only the company submitting the file must be a registered INtax user. Even though your clients do not have to be registered in INtax, they do have to be registered with the State of Indiana to file the return type being submitted. Taxpayers registered with the State of Indiana will have a valid 10-digit Tax Identification (TID) number with a 3-digit location.

2. Encryption for FTP Submission

All files must be encrypted using PGP when sent to the Department's secure FTP site. The steps in this process are as follows:

1. Create your own public/private key pair using PGP
2. Exchange public keys with the Department
3. Encrypt the data using the Department's public key
4. Sign the data with your private key
5. Upload the data to the secure FTP site

PGP encryption works between two parties who each have a pair of encryption keys: one of which is public, the other private. The data to be encrypted is encoded using the recipient's public key; then signed by the sender's private key. The recipient checks the validity of the sender by checking the signature against the sender's public key. If that step passes, the data can be decrypted using the recipient's private key. In this way, the public key can be made public, and there is no need for the private key to be sent to the recipient, thus improving security.

Acknowledgement files will be encrypted using both the Department's key and the submitter's key.

Note About PGP Software

This type of activity may well be the responsibility of your IT department. However, if you wish to install and use it yourself, here are some instruction for PGP.

The PGP software can be downloaded from the International PGP home page (<http://www.pgp.org>). As you install it you will be asked if you want to create your own personal public/private key pair; you will need a key pair to send data via e-mail to Department. Remember the pass phrase that you enter as you will need it to sign a file.

3. Certificate of Registration

Once you have completed your registration in INtax, you may request a Certificate of Registration. This registration contains your file naming convention, your FTP site login name, as well as other information needed to file electronically. Your secure FTP site password will be e-mailed in a separate document.

With the certificate, you will also be sent a link to download software that may be used to connect to the FTP site. If you currently have software your company uses to connect to FTP sites, it may be used in place of the one provided.

4. Submission File Naming Convention

The file name of your submission will be defined on the Certificate of Registration. An explanation of the file naming convention is shown in Table 1 below. Once registered to upload bulk files, a file name will be assigned to the submitting company. The information below is for reference only.

Table 1 – File Naming Conventions

Characters	Values
1	File Type Indicator Valid Indicators: P – Production T – Test
2-11	Submitter Identifier as assigned through the Department’s registration process
12-14	Tax Form Code as specified in the certification letter.
15	File format used to represent the data in the file. This is the file format that was certified and assigned by the Department. File formats are: 1. XML 2. EFW2 3. IRS 1220
16-21	Sequence Number assigned by the submitter. This is your way of sending the Department files with unique file names. You may use this at your own discretion. This must always be six digits with no spaces, letters, or special characters.
22-25	Extension depending on the file format. This will be assigned by the Department. File Format extensions: 1. .xml 2. .txt 3. .txt

5. FTP File Transfer

Files transmitted to the Electronic Returns Filing service should be named using the convention shown above. This name will be assigned by the Department. The file should be encrypted using PGP encryption. Please follow guidelines in Appendix A for details on encrypting a file.

With the file named according to specifications and encrypted using PGP, it may be uploaded to the FTP site designated by the Department. You may accomplish this programmatically or you may use FTP software to connect to the site. An application to connect to the FTP site may be downloaded at <https://extranet.in.gov/sftp/base> At this site, choose *Secure File Transfer (SFTP)*. For further instructions, see Appendix B.

Attention: FTP file transfer will not be available Sunday evenings from 8 p.m. through 11:59 p.m. Files uploaded to the Department’s Web site during these hours may not be processed until the next business day.

6. Acknowledgements

After uploading an encrypted file to the Department's FTP site, you will receive two e-mails. The first e-mail will verify that the Department have received a file from your company. The second e-mail will notify you that your file has been processed and the results are available in a specific directory on the FTP site. The base file name will be the same as the file submitted to the FTP site. The only difference will be in the file extension.

Inside the acknowledgement will be a record of each return submitted in the uploaded file. The absence of any error messages or codes indicates the return processed normally. The following example is of a return with no errors. This indicates the return processed normally.

```
<Acknowledgement>
  <submissionId>2397174</submissionId>
  <EFIN>000000</EFIN>
  <GovernmentCode>INST</GovernmentCode>
  <SubmissionType>005</SubmissionType>
  <TaxYear>2009</TaxYear>
  <SubmissionCategory>FSET</SubmissionCategory>
  <FilingStatus>A</FilingStatus>
  <ContainedAlerts>0</ContainedAlerts>
  <StatusDate>2009-6-18</StatusDate>
  <EIN>1234567890001</EIN>
</Acknowledgement>
```

Indiana TID and Location of the taxpayer. This uniquely identifies each return filed.

The next example shows a return that was rejected due to an invalid TID and location in the EIN element. When a return is submitted through the electronic filing channel, the Indiana TID and location are verified against our main database. If this TID and location do not match any active accounts in the Department's database the return is rejected. This return should be corrected and re-filed.

```
<Acknowledgement>
  <submissionId>2398002</submissionId>
  <EFIN>000000</EFIN>
  <GovernmentCode>INST</GovernmentCode>
  <SubmissionType>005</SubmissionType>
  <TaxYear>2009</TaxYear>
  <SubmissionCategory>FSET</SubmissionCategory>
  <FilingStatus>R</FilingStatus>
  <ContainedAlerts>0</ContainedAlerts>
  <StatusDate>2009-6-18</StatusDate>
  <EIN>0123456789001</EIN>
  <ErrorList errorCount="1">
    <Error errorId="0001">
      <XPath>828</XPath>
      <ErrorCategory>E</ErrorCategory>
      <ErrorMessage>Taxpayer Existence Check Failed: 0123456789001</ErrorMessage>
      <RuleNumber>60003</RuleNumber>
      <Severity>FAIL</Severity>
    </Error>
  </ErrorList>
</Acknowledgement>
```

7. Test Files

To become certified to upload files to Department's FTP site you must successfully upload two different files which result in no errors. All steps in uploading a production file also apply to test files. The only difference is in the file name. All test files submitted to the FTP site must begin with the letter "T". Production files submitted by uncertified taxpayers to Department's FTP site will be rejected without any processing.

It is recommended you contact the Department's business-to-business section to receive a contact person to work with during this process. Please see Appendix C for contact information.

Quick Reference

Registration Steps

Step 1: Register in INtax (<https://www.intax.in.gov/Web>).

Step 2: Request Certificate of Registration using the contact information in Appendix C. This will provide you with the file name of the file to be submitted, the FTP login name, and password.

Step 3: Download and install PGP software. You may download a free version at <http://www.pgpi.org>

Step 4: Download and install the FTP software from <https://extranet.in.gov/sftp/base>

Step 5: Successfully upload two test files that result in no errors.

Steps Repeated Each Return Cycle

Step 1: Create the file containing the returns being submitted. The file must be in accordance with the specifications. The file name must be in accordance with the Certificate of Registration.

Step 2: Encrypt the file using your private key and Department's public key. The file name should be the same as Step 2 from the Registration Steps (above) with the additional suffix of .PGP.

Step 3: Connect to Department's secure FTP site using your software or the software downloaded from <https://extranet.in.gov/sftp/base> Follow the instructions in Appendix B.

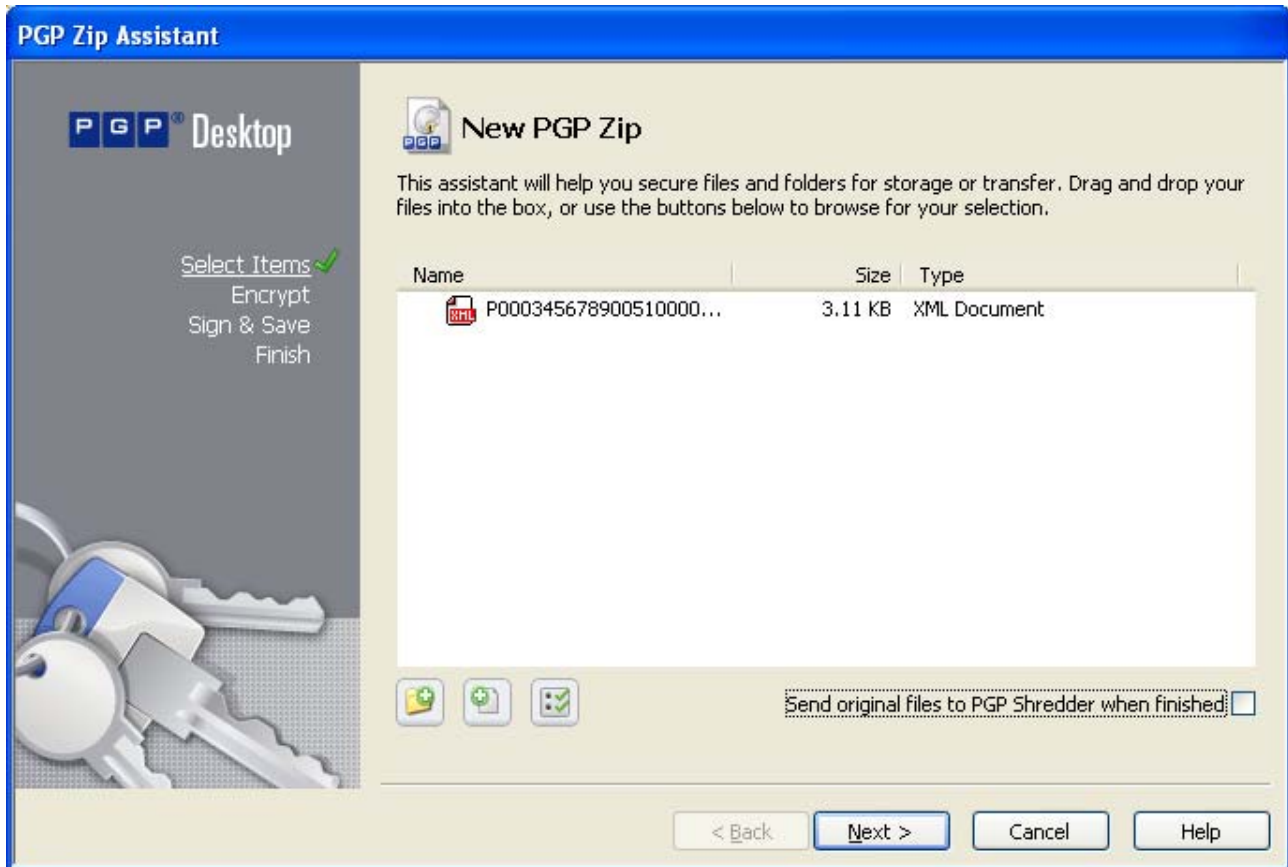
Step 4: Copy the file to the attached FTP site.

Step 5: You should receive an e-mail acknowledging the receipt of the file.

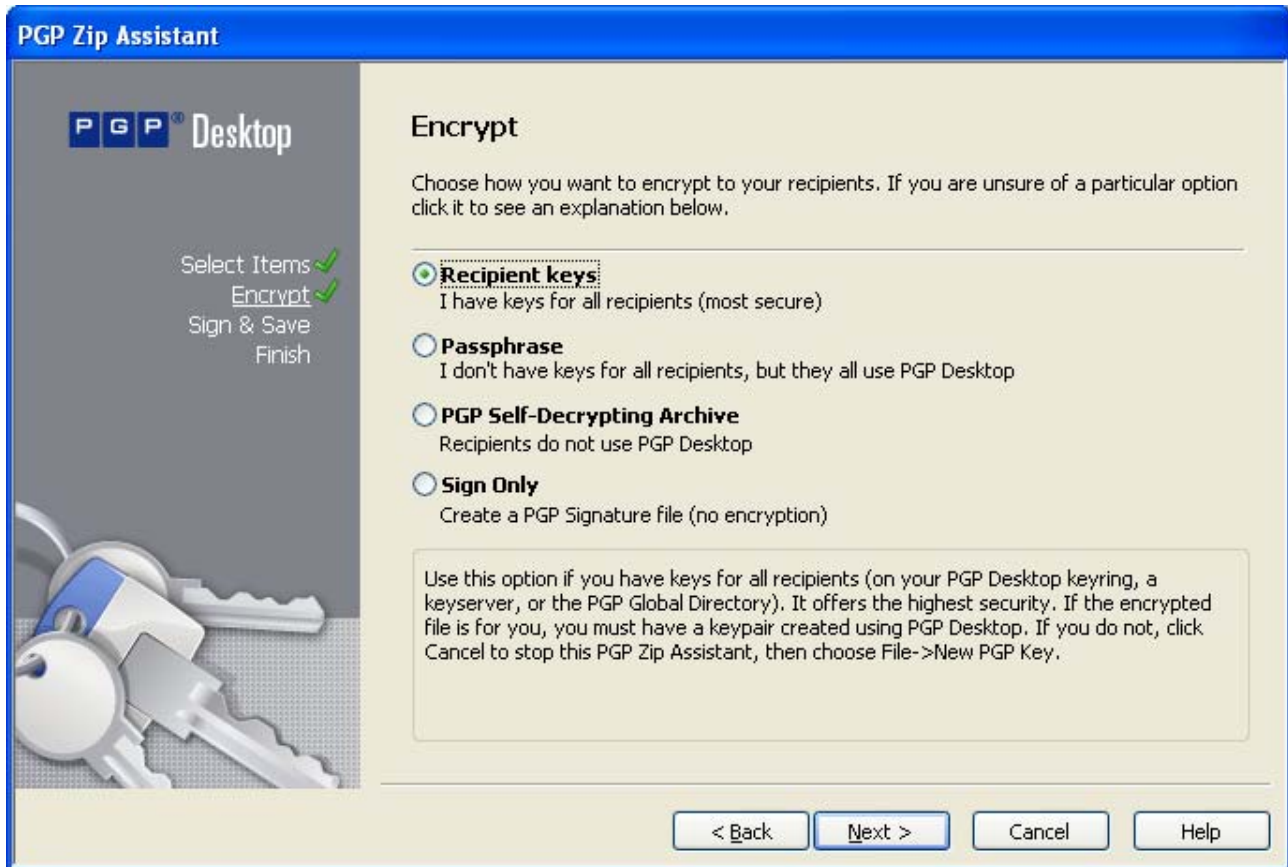
Step 6: You should receive another e-mail notifying you the file has been processed and is now ready for pickup on the FTP site. If requested, the acknowledgement may be attached to the e-mail.

Step 7: Fix and then re-submit any returns that did not process because of errors.

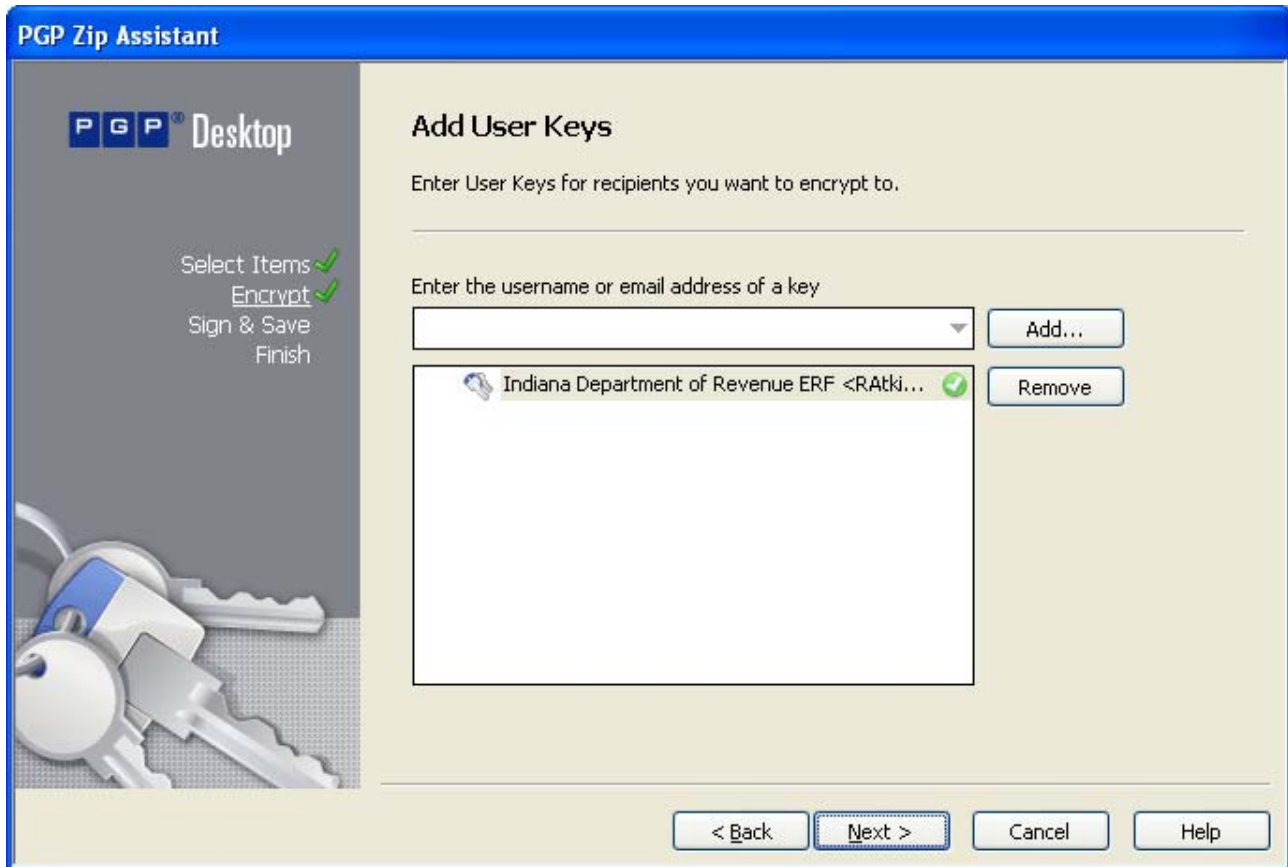
You will then see the screen below. Select Next.



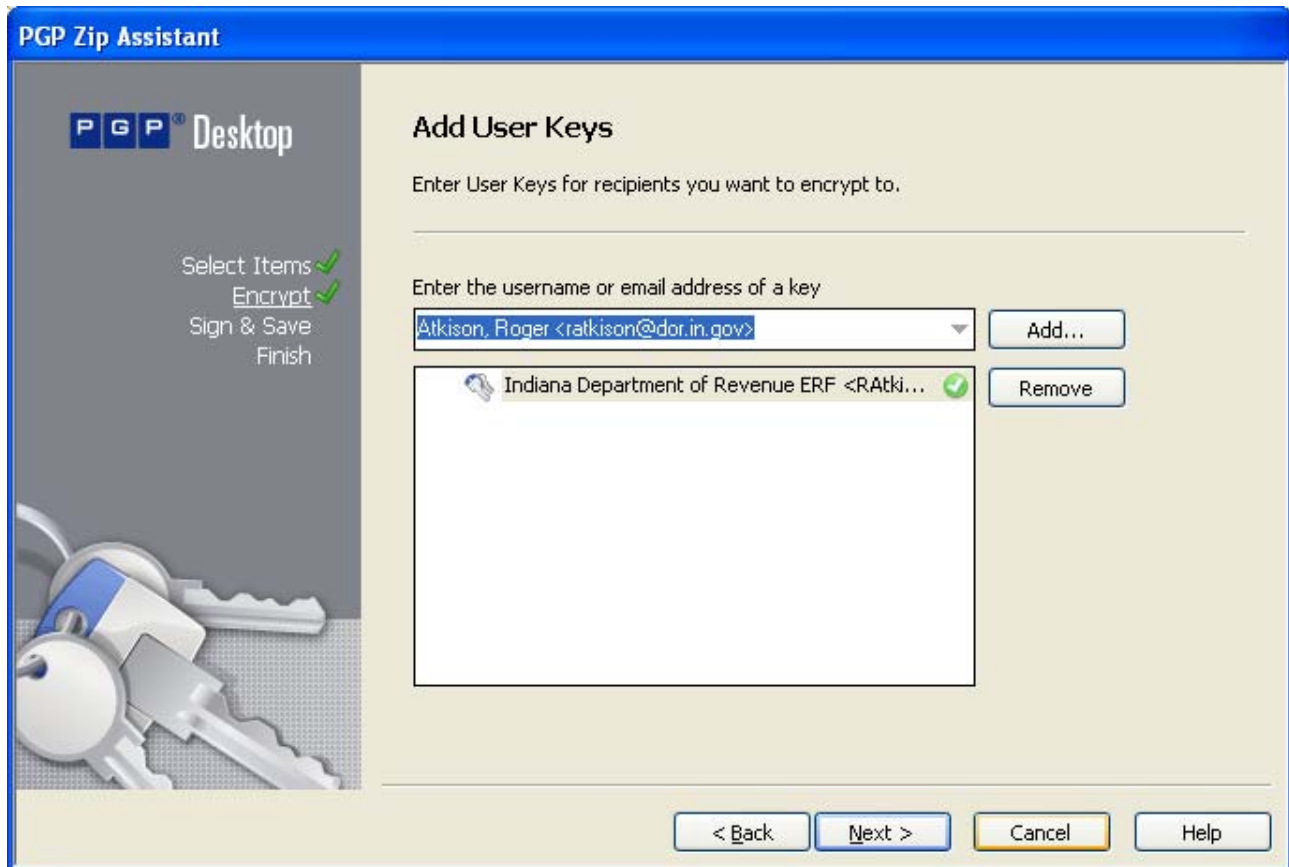
Choose "Recipient keys" and click Next.



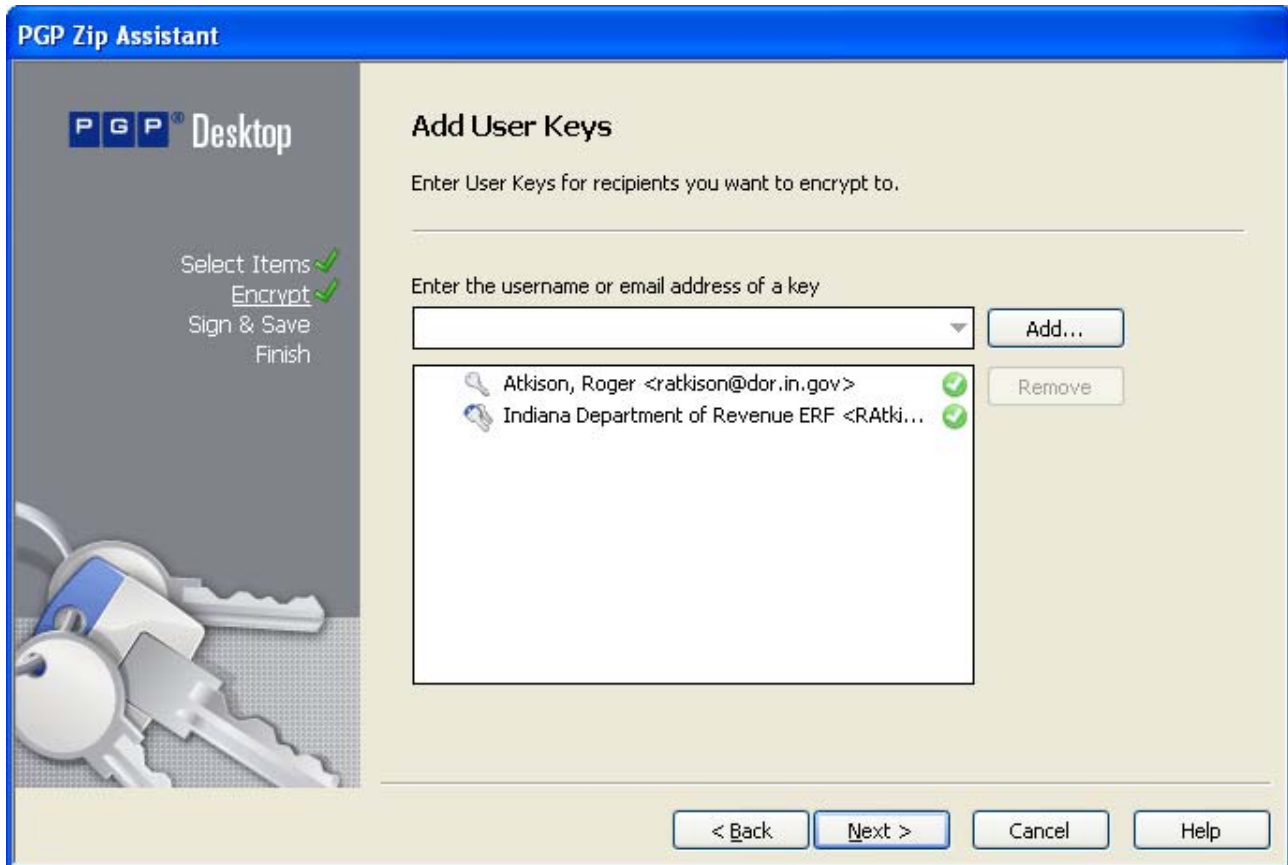
You should be taken to a screen that has your key in the large text box.



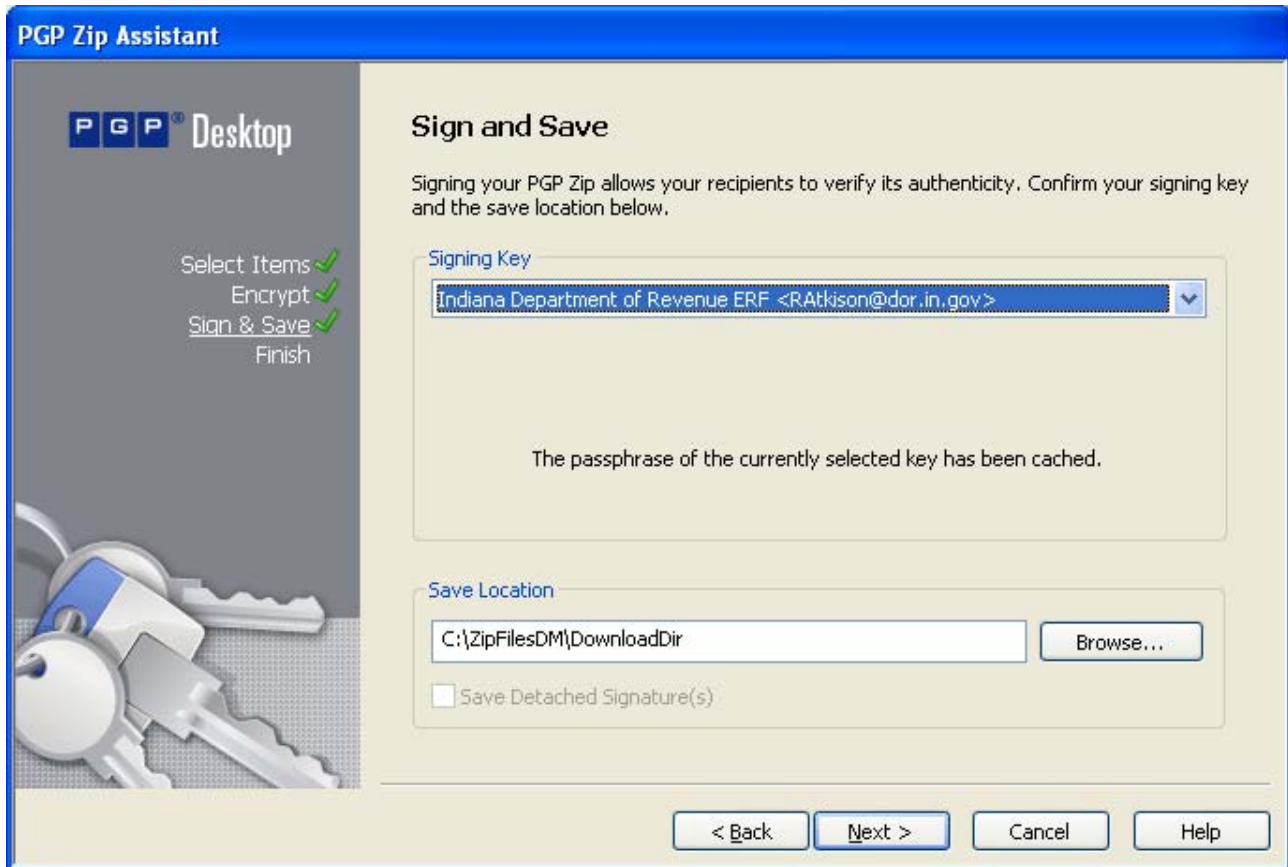
On the drop down, choose the Indiana Department of Revenue ERF key. In the example below, I am selecting another key. Once selected, click Add.



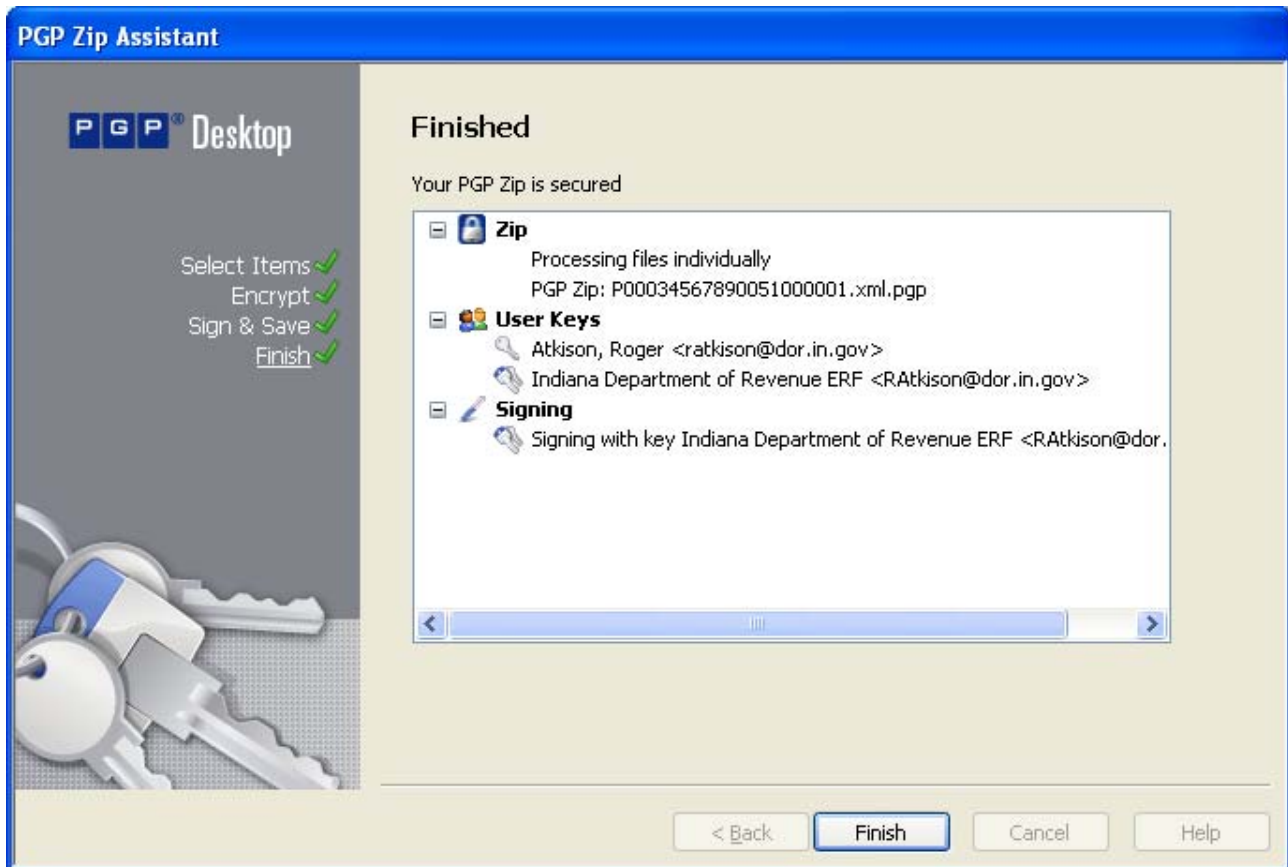
Make sure the Indiana Department of Revenue ERF key is in the large box, as shown below. That is the only key that must be shown. It does not matter which key is highlighted, just that the Department's key is in the box. Click Next.



The signing key should be your private key, not the Department's as shown in the example.



This is the final screen. It should show your private key and the Department's public key. Click Finish and copy the file to Department's secure FTP site.



APPENDIX B - FTP Client Installation Instructions

Go to <https://extranet.in.gov/sftp/base>

Click on winscp376setup.exe

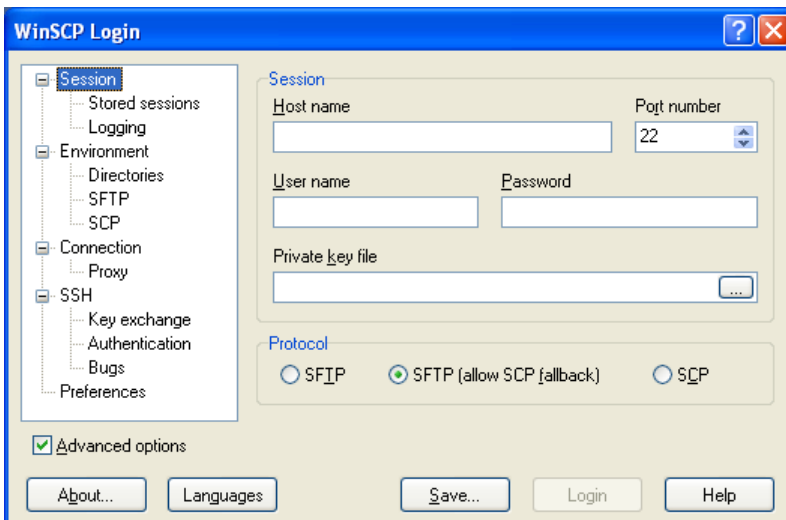
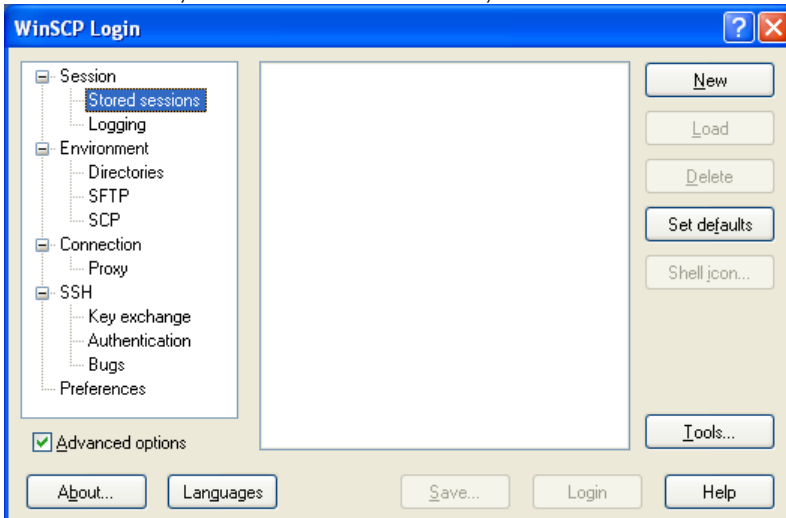
After installing, Run WinSCP3 by double clicking on the desktop icon.



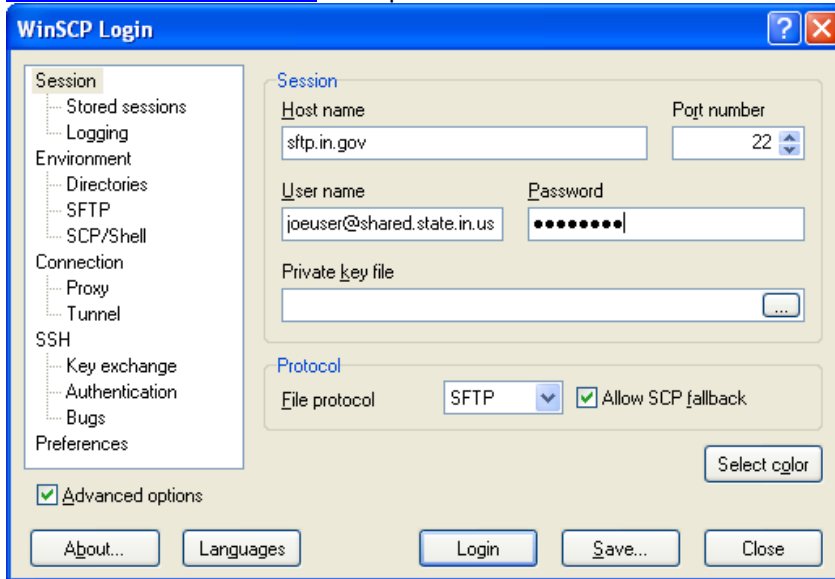
Winscp3.Ink

Set up a Secure FTP Session:

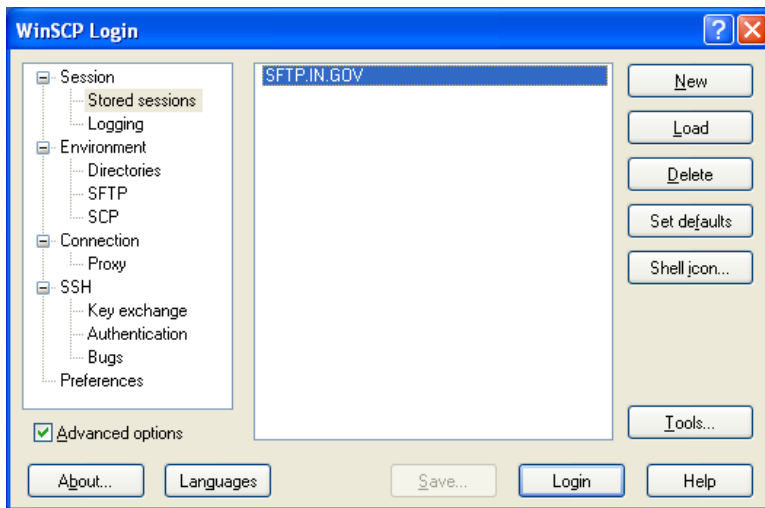
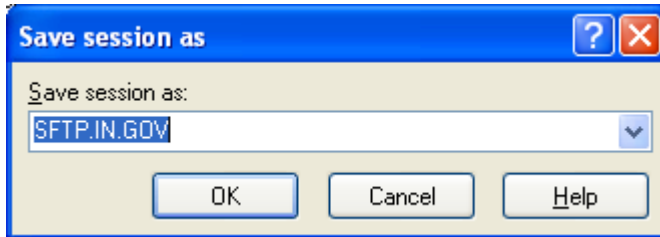
Under Session, click on Stored Sessions, then click on the New button.



Enter in the information from the screenshot below using your username to access the SFTP Server. Your IDs belong in a domain and must be fully qualified when you log in. See the screenshot below for userid@shared.state.in.us example.



Click on Save.



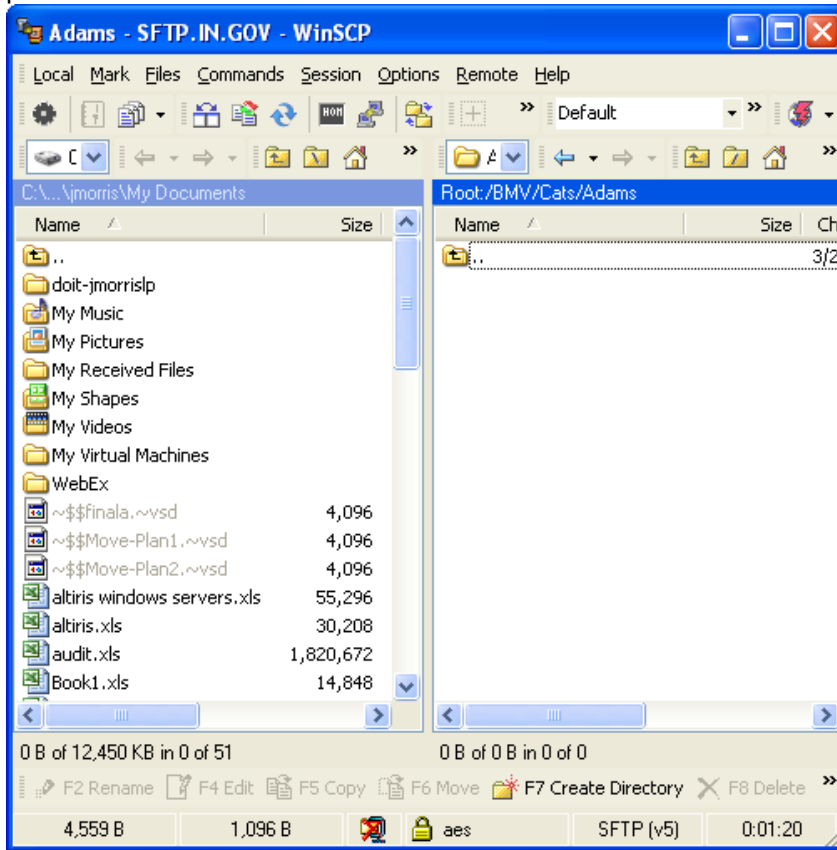
Highlight SFTP.IN.GOV and Click on Login.

Enter your password.

Accept the host keys and Authorized User Policy

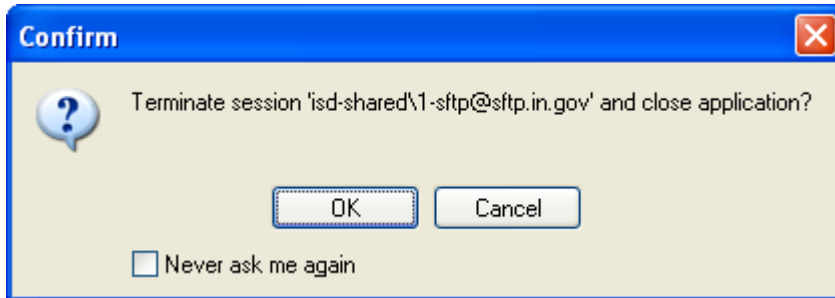


The program window will come up and split the local directory and the remote directory as two side-by-side panes:



Highlight and drag the file from the right pane and drop the file on the corresponding folder to which the file belongs in the left pane. Repeat as desired.

Click OK to Terminate the session.



APPENDIX C – Contact Information

If after reviewing this material you have further questions regarding the electronic filing of returns, please contact the Indiana Department of Revenue at (317) 233-5656. You may also e-mail your questions to IDORB2BSupport@dor.IN.gov, or you may write to the following address:

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INDIANAPOLIS, IN 46204-2253