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Important Information: Read before proceeding

The Indiana Department of Revenue (DOR) has created this SFTP Bulk Upload guide for business customers that need to submit a file size that exceeds 10 MB. Registering for SFTP can only take place if a file has been rejected by INTIME for exceeding the 10 MB size restriction.

If a file size is under 10 MB, manually enter or upload via INTIME.

When filing securely via INTIME, bulk files do **not require** a file naming convention **or** encryption.

If a file size exceeds 10 MB, continue to use this guide to register for SFTP. When bulk filing via SFTP, it is required to follow the file naming convention and file(s) must be encrypted.

Overview of Bulk Upload

Taxpayers who need to submit files that exceed 10 MB can electronically bulk upload these records to the Indiana Department of Revenue (DOR) via Secure File Transfer Protocol (SFTP) for all file types. Bulk upload files are created by the customer and then submitted to DOR for processing. The files are processed sequentially within a couple of hours. During high-volume processing, there can be an increased turnaround time for <u>acknowledgements</u>. When the process is complete an acknowledgment email is sent to the authorized representative with the results of the submission.

INTIME (Indiana Tax Information Management Engine), DOR's e-services portal, provides an expanded file size limit of 10 MB for many of the files submitted. DOR recommends INTIME as the preferred method for file submission. Accepted files will not be viewable on INTIME for at least one full business day.

Additional information and resources for bulk filing Indiana taxes are available.

See Appendix F for more information on tax type and bulk filing methods and options.

Important

There is no requirement to sign up for SFTP.

If you do not have an SFTP account, disregard the SFTP annual renewal process request and follow the INTIME renewal process found in the INTIME Guide to Filing Withholding Taxes.

SFTP is only used for file sizes that exceed 10 MB.

INTIME accepts files up to 10 MB, but if a file exceeds that limit, then SFTP must be used.

SFTP Bulk Filing Annual Renewal

With the passing of Bill 234 (effective January 2022), there is a new SFTP bulk filing annual renewal process for payroll service providers who file Withholding, **including Professional Employer Organizations (PEO)**, and **Certified Professional Employer Organizations (CPEO)**. All active SFTP accounts must renew their accounts annually prior to December 31.

Indiana Code 6-8.1-18-1

"A payroll service provider must certify and acknowledge that the bank account that is used by the payroll service provider for employer withholding tax deposits shall only be used for employer withholding tax liabilities and other payroll obligations of client employers that the payroll service provider is holding and is required to remit to the appropriate agency, employee of the employer, or other payee as authorized by the employer, and may not be used for any other purpose (other than using the account as a sweep account), including for the payment of operating expenses or personal use, and that a payroll service provider's withdrawal or use of funds in the account for any unauthorized purpose constitutes fraud."

Step 1. Go to INTIME (non-logged in screen)

Step 2. Locate "Renew SFTP Registration" panel and click on, "Annual renewal for SFTP registration"

Step 3. Enter vendor code and name of previously submitted Withholding filename.

Step 4. Read and agree to "Notice to service providers"

Tip: Be sure to check the box agreeing to the notice or you will receive an error message before you can move on to the next screen.

Withholding SFTP Renewal Form		
Current Withholding expiration date		
Notice to service providers		
As the responsible party listed as a withholding SFTP provider/filer, you a acknowledge and agree to the following statement:	re seeing this as part of the registration process. Before co	ontinuing to submit via SFTP to DOR, you must
A payrol service provider must certify and acknowledge that the ban Required Pemployer withholding tax liabilities and other payroll obligat	nk account that is used by the payroll service provider for e tions of client employers that the payroll service provider i	employer withholding tax deposits shall only be is holding and is required to remit to the
Required Charge of the molecular of the employer of the employer of other payment more price of the agency, employee of the employer of other payees as sweep account), including for the payment of operating expenses or other purpose constitutes fraud.	ithorized by the employer, and may not be used for any ot	ther purpose (other than using the account as a
 Sweep account), including for the payment of operating expenses or 	ithorized by the employer, and may not be used for any ot personal use, and that a payroll service provider's withdra	ther purpose (other than using the account as a
Integrate agency, employee of the employer, or other payee as au sweep account), including for the payment of operating expenses or other purpose constitutes fraud.	ithorized by the employer, and may not be used for any of personal use, and that a payroll service provider's withdra New vendor contact infor	ther purpose (other than using the account as a awal or use of funds in the account for any rmation (only enter if different) formation will update for all tax types that are
Interpretate agency, employee of the employer, or other payee as au sweep account), including for the payment of operating expenses or other purpose constitutes fraud.	Ithorized by the employer, and may not be used for any of personal use, and that a payroll service provider's withdra New vendor contact infor Note: Any updates of contact inf	ther purpose (other than using the account as a awal or use of funds in the account for any rmation (only enter if different) formation will update for all tax types that are
Support fraits agency, employee of the employer, or other payee as au sweep account, including for the payment of operating expenses or other purpose constitutes fraud. Existing vendor contact information	Ithorized by the employer, and may not be used for any of personal use, and that a payroll service provider's withdra New vendor contact infor Note: Any updates of contact inf associated with the SFTP provide	ther purpose (other than using the account as a awal or use of funds in the account for any rmation (only enter if different) formation will update for all tax types that are
Contact name	Ithorized by the employer, and may not be used for any of personal use, and that a payroll service provider's withdra New vendor contact infor Note: Any updates of contact inf associated with the SFTP provide Contact name	ther purpose (other than using the account as a awal or use of funds in the account for any rmation (only enter if different) formation will update for all tax types that are

Taxpayer Registration

Before filing bulk returns all submitters, or customers with files being submitted on their behalf, must be registered with the State of Indiana, and have a valid 10-digit TID number with a three-digit location. If you need to obtain your Indiana State ID (TID), you can register at <u>inbiz.in.gov/taxes-fees/tax-registration</u>.

SFTP Password Information

For an existing SFTP account: If you have an existing SFTP account and need to reset your password, a request must be sent via email to <u>bulkfiler@dor.in.gov</u> along with your vendor code and username for the account.

For a new SFTP registration: Following the approval of a new SFTP registration, an INTIME message will be sent containing with your vendor code. You will receive a secure email from DOR containing your SFTP password, to the email address you registered with. It may take up to two full business days before receiving a secure email containing your SFTP password.

New SFTP Registration Steps

Only customers with files that exceed 10MB in size can register to use SFTP with the following steps:

Step 1: <u>All customers must be registered on INBIZ</u> to receive their 10-digit Indiana Taxpayer Identification Number (TID).

Note: A three-digit location number will be provided in a letter from DOR, and then viewable as part of the TID once a customer is logged in to INTIME.

Step 2: All submitters must register or already have an INTIME logon to access SFTP registration.

Note: A vendor code is not required when uploading XML files via INTIME; Leave "Vendor Code" field blank (example: <VendorCode></VendorCode>) or enter all ones (example: <VendorCode>11111</VendorCode>.

Step 3: Before a customer can register for SFTP, a file must be submitted via INTIME direct upload and be rejected for exceeding the 10 MB size limit. Files must be 10MB or higher to utilize SFTP.

		SX0.	
XML	File too large.	Exan	nple -
File -		_	
Choose File		ОК	

Step 4: To begin SFTP registration process, <u>log in to INTIME</u>, go to "All Actions" tab, then the "SFTP Filer registration" panel to select "New SFTP registration" link.



Step 5: Enter 10-digit TID and click "Next." Using anything other than your TID will result in the registration being rejected during processing.

Tip: TID is displayed in the top-left corner of the screen under the business name when logged in to INTIME.

- Step 6: Enter all required SFTP filer information then click "Next."
- Step 7: You must check the box to confirm that the information provided is accurate. If the box is not checked, the SFTP Registration request cannot be submitted.

Notice to Withholding service providers: If you selected to be the responsible party listed as a withholding SFTP provider/filer and are continuing to submit this registration for SFTP to DOR, you and agree to the following statement:	
A payroll service provider must certify and acknowledge that the bank account that is used by the payroll service provider for employer withholding tax used for employer withholding tax liabilities and other payroll obligations of client employers that the payroll service provider is holding and is required appropriate agency, employee of the employer, or other payee as authorized by the employer, and may not be used for any other purpose (other than sweep account), including for the payment of operating expenses or personal use, and that a payroll service provider's withdrawal or use of funds in the purpose constitutes fraud.	deposits shall only be to remit to the using the account as a

- Step 8: A confirmation will be provided on screen. Save this confirmation for your records. A printable view option is available and allows the customer to print or save a copy.
- Step 9: Once registration has been completed, an email will be sent from <u>Do Not Reply@dor.in.gov</u> with a unique case-sensitive SFTP username, vendor code, tax codes, and FTP site name.
- Step 10: A secure email will be sent separately to your email address on file containing a unique casesensitive SFTP password. It may take up to one full business day before receiving the secure email containing your SFTP password.
- Step 11: Files must follow the naming convention before submission to the SFTP site. The <u>file naming</u> <u>convention is available in this guide</u>. Not following the file naming convention will result in your file being rejected.
- Step 12: Files must be properly encrypted for SFTP submission. <u>Encryption process information is</u> <u>available in this guide</u>. Instructions on how to download and install PGP or GPG software is available in <u>Appendix A</u> for PGP or <u>Appendix B</u> for GPG.
- Step 13: Download and install <u>DOR's public key for file encryption</u>. If your file is not encrypted properly, it be rejected.

- Step 14: <u>Download and install the client SFTP software</u> (GUI (WinSCP Install). See instructions in <u>Appendix C</u>.
- Step 15: File specifications and schemas are available on <u>DOR's Resources for Bulk Filing your Indiana</u> <u>Taxes</u> page.

Existing SFTP Registration Steps

A customer will need to follow existing SFTP registration steps if they need to update or add additional contacts, email, phone number(s), and/or additional tax type(s) if appropriate.

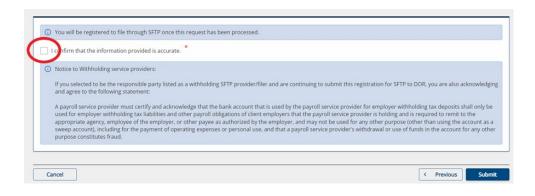
Step 1: To begin existing SFTP registration process, log in to INTIME, go to "All Actions" tab, then the "SFTP Filer registration" panel to select "Existing SFTP registration" link.

+	SFTP filer registration
sub	istration for vendors with a file size over 10 MB to mit their files through SFTP with the Indiana partment of Revenue.
>	New SFTP Registration
~	Existing SFTP Registration

- Step 2: Enter your valid SFTP vendor code
- Step 3: Enter new information in the fields under the "New vendor contact information (enter only if different from existing)" section. This is where contacts, email address(es), phone number(s) can be updated or added. Additional tax type(s) can be added in the bottom section if needed

Existing vendor contact information.		New vendor contact info from existing)	ormation (e	enter only if dif	ferent	
endor or Entity name		Vendor or Entity name				
ntact Name		Contact Name				
ontact Phone		Contact Phone				
ine Extension			Phone Extension			
mitter Type siness			Submitter Type			
siness nowledgement Receipt fail recipient with detailed XML att			Acknowledgement Receipt			
Note: Please make any additions, d Email(s) on file	deletions, or upd	ates to emails listed in the table	below. All email addresses listed below	will be stored on	n file with your vendor	code.
Email(s) on file Y ou must have at least one tax type	se, form type corr		below All email addresses listed below ed below will be stored on file with your		n file with your vendor	code.
Email(s) on file X Vou must have at least one tax type lect SFTP tax type(s)/form	se, form type corr				n file with your vendor	code.
Email(s) on file Four must have at least one tax type Vour must have at least one tax type Lect SFTP tax type(s)/form Tax Type	ve, form type corr n type(s)	iblination below. All methods its		vendor code.	n file with your vendor	code.
Email(s) on file You must have at least one tax type Vou must have at least one tax type Vou holding	se, form type com n type(s) Form Type	ibination below. All methods its Description	ed below will be stored on file with your	vendor code. File type	n file with your vendor	code.
Email(s) on file Four must have at least one tax type Vour must have at least one tax type Lect SFTP tax type(s)/form Tex Type Withholding Withholding	be, form type com n type(s) Form Type WH-1	bination below. All methods its Description Form WH-1 (Code 005)	ed below will be stored on file with your	vendor code. File type XML	n file with your vendor	code.
Email(s) on file Four must have at least one tax type Vour must have at least one tax type Lect SFTP tax type(s)/form Tex Type Withholding Withholding Withholding	e, form type com n type(s) Form Type WH-1 EFW2 Format	Description Description Form WH-1 (Code 005) EFW2 format (Code 201): W Form WH-3 (Code 201)	ed below will be stored on file with your	vendor code. File type XML TEXT XML	flie with your vendor	code.

Step 4: You must check the box to confirm that the information provided is accurate before hitting submit. If the box is not checked, the SFTP Registration request cannot be submitted. A confirmation number will be displayed once submitted.



ACH Debit Payments: Debit Block Option

Customers who use an Automated Clearing House (ACH) debit to make tax payments to DOR will be required to provide their business' bank with the following **Debit Block: 9207000TAX**.

A Debit Block protects your business's bank account from unauthorized electronic charges. This additional safeguard is completely optional and is used by some customers that elect to allow only ACH debits with a matching Debit Block number to draft payments from their bank account. <u>See more information</u>.

If a payroll service provider submits an ACH payment with your business' bank account number and you have an existing debit block on the account, then you DO need to ADD the debit block number with your bank. If the payroll service provider is submitting a payment with their bank account number, then you do NOT need to update the debit block. In this scenario, the service provider will need to update their own debit block number.

Testing your File for Submission

Test files will only be accepted in special circumstances as deemed necessary. Testing is a manual process, and you must contact us via <u>Bulkfiler@dor.in.gov</u> in the event you are required to submit a test file for the file to be processed and feedback to be provided. SFTP supported tax types will be processed as a production file **unless** you change the file type to a "T" instead of a "P" and notify the <u>Bulk Filer mailbox</u> to which you wish to submit a test file.

File Validation

XML files have two levels of validation:

- 1. Schema validations
- 2. Business rule validations.

Flat files have field value validations (e.g., line lengths, required records.).

If either file type fails format validations, no business rule validation will occur because DOR will be unable to read the file.

Acknowledgements

When uploading an encrypted file to the SFTP site, you will receive an acknowledgment email to notify you that your file has been processed. You can also elect to have detailed XML sent to your SFTP out folder.

The email will indicate the status of the file with one of the following messages:

Accepted: The absence of any error messages or codes indicates that the return processed successfully. The base filename will be the same as that of the file submitted.

Partially Accepted: DOR's system processes accepted returns within the file and rejects the incorrect returns. The XML attachment will provide details of which returns have been accepted, and which have been rejected along with the reason for the rejection. This allows you to correct the rejected returns within that file and resubmit only the ones that had been rejected.

Rejected: If any of the records submitted in flat file format have invalid or incorrectly formatted data, the entire file is rejected. The error message lists the returns that require correction.

Example of a successfully processed file email message

The Indiana Department of Revenue (DOR) received a bulk file named [*FileName*] from you or on your behalf. The file was fully processed without errors. An XML formatted file detailing the processing results is attached to this email for your records.

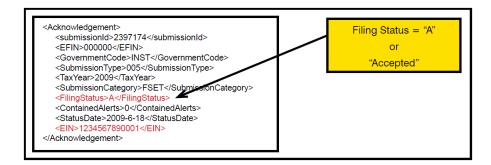
Note: If you do not receive an acknowledgment file you should **not** assume your file has been received and or accepted. Do not resubmit a file until you receive a message indicating that it has not been received.

If you do not receive an acknowledgement within two hours:

- Verify that the file was named correctly, which includes your accurate Vendor Code as shown in your Certificate of Registration along with the other name parts.
- Verify that file was encrypted using only DOR's public key.
- Reach out to the bulk file email box <u>Bulkfiler@dor.in.gov</u>

If these are correct, email DOR at <u>BulkFiler@dor.IN.gov</u> to verify reception.

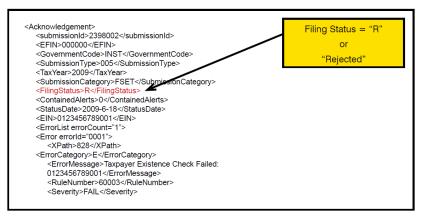
This is an example of a return with no errors and indicates the return processed.



Example of rejected file email message

The Indiana Department of Revenue (DOR) received a bulk file named *[FileName]* from you or on your behalf. The file has been rejected for validation errors. An XML formatted file detailing the errors is attached to this email. Please resubmit a corrected file.

The following 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 bulk upload process, the Indiana ID and location are verified against our main database. If this TID and location do not match any active accounts in our database, the return is rejected. This return should be corrected and resubmitted.



Example of partially accepted file email message

If there are multiple returns in an XML format file, each return can be accepted or rejected independently of each other. The partially accepted file email message will include an XML attachment that will provide details of which returns have been accepted and which have been rejected along with the reason for the rejection. Once the returns have been corrected, do not resubmit the returns that were originally submitted successfully, only those that were rejected.

Recap of Steps to File

- Step 1. Create a file containing the returns to be submitted. The file must be in accordance with the specifications. The filename must be in accordance with the certificate of registration.
- Step 2. Encrypt the file using our public key.
- Step 3. The filename should be the same as the original except with the additional suffix of .pgp or .gpg. Do not encrypt using both .pgp and gpg, only choose one or the file will fail for double encryption error.
- Step 4. <u>Connect to our secure SFTP site</u> using your software or the software downloaded. Follow the instructions in <u>Appendix C</u>.
- Step 5. Upload the file to the <u>DOR's secure SFTP site</u>.
- Step 6. You should receive an email with the acknowledgement XML attached.
- Step 7. Fix and resubmit any returns that did not process because of errors.

Note: Resubmit only the returns that failed. Do not resubmit the entire file.

SFTP Bulk Filing

Files transmitted via the bulk upload process **must** be named using the convention. The file should be encrypted using PGP or GPG encryption. Please follow the guidelines in <u>Appendix A</u>, or, for encrypting a file, use <u>Appendix B</u>.

With the file named according to specifications provided in your certificate of registration and encrypted using PGP or GPG, it can be uploaded to the SFTP site designated by DOR. You can accomplish this programmatically or use SFTP software to connect to the site. <u>Download software to connect to the SFTP site</u>, and then select the GUI (WinSCP Install) option.

File Naming Conventions

Note: File names must be 21 characters in length, not including the file extensions. Incorrectly named files will not be processed or acknowledged.

Position	Numbers of Characters	Values
1	1	File Type Indicator Valid Indicators: P = Production T = Test
2-11	10	Submitter Identifier as assigned through DOR's registration process. Left Zero padding is required.
12-14	3	Tax Form Code 005 = Form WH-1 201 = WH-3 (XML files) and EFW2 Specification (flat files) 202 = 1220 format (include W2Gs and 1099Rs) 027 = MVR-103 <u>See Appendix F for more options</u> .
15	1	File format code that is used to represent the data in the file. This is the file format that was certified. 1 = XML 2 = ASCII or .txt
16-21	6	Sequence Number incremented from 000001 for each transmission of the specified Tax Form Code made by the Submitter in a given tax year.
22-25	4	Extension depending on the file format. File format Extensions: .xml .txt
26-29	4	File Extension after encryption: .pgp .gpg

Note: Duplicate file names in a calendar year will be rejected.

Examples: File name of production file (P), submitter identifier 12345678, tax type WH-1 (005), file type - xml (1), sequence 7,

• Before Encryption:

P00123456780051000007.xml

• After Encryption: P00123456780051000007.xml.gpg

Encryption for SFTP Submission

All files **must** be encrypted using PGP or GPG (kleopatra) when sent to our secure SFTP site.

Tip: This type of activity might be the responsibility of your IT department.

To encrypt your file :

- Step 1. Create your own public/private key pair using PGP/GPG.
- Step 2. Download and install <u>DOR's public key</u> for file encryption. If your file is not encrypted properly it be rejected.
- Step 3. Import the DOR's public key into your encryption software for your use.
- Step 4. Encrypt the data using only DOR's public key.
- Step 5. Upload the data to the secure SFTP site.

PGP/GPG encryption works between two parties, each of which has 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. The recipient checks the validity of the sender data by checking the encryption against the recipient's private 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 submitter, thus improving security.

PGP or GPG Software

Note: Use either PGP or GPG, but not both. Using both will encrypt a file twice and cause it to be rejected.

GPG Kleopatra Install and Key Generation

Step 1: Download GPG / Kleopatra. Install the downloaded gpg4win.exe to install GPG / Kleopatra.

Note: Select the option "Kleopatra" when installing Gpg4win.



Step 2:

🔒 Gpg4win Setup		– 🗆 X
Gpg4win	Choose Components Choose which features of Gpg4w	in you want to install.
Check the components y install. Click Next to cont	ou want to install and uncheck the com inue.	nponents you don't want to
Select components to ins	stall: Ckular (experimental) Ckular (experimental) Keopatra CopgOL GpgDX Browser integration	Description Position your mouse over a component to see its description.
Space required: 115.9 M	В	
Gpg4win-4.2.0	< Back	Next > Cancel

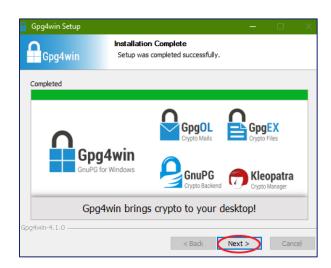
Step 3:

-		
Gpg4win Setup	— — >	<
0	Choose Install Location	
Gpg4win	Choose the folder in which to install Gpg4win.	
	n the following folder. To install in a different folder, dick Browse Click Install to start the installation.	
C: \Users\sroe \Downlo	bads\Gpg4win Browse	
Space required: 100.2 MB Space available: 364.0 GB Gpg4win-4.1.0		

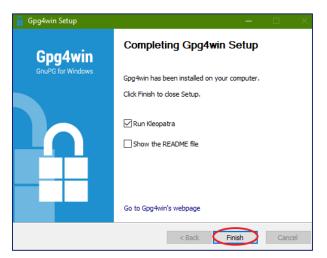
Step 4:



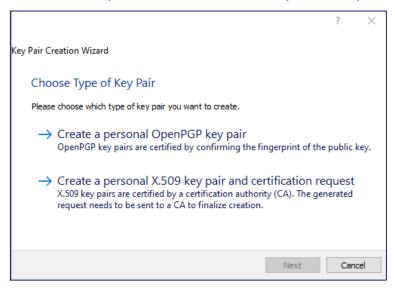
Step 5:



Step 6:



Step 7: Once installed, run Kleopatra then select "Create a personal OpenPGP key pair."



Step 8: Verify your name and email address, then click on "Advance Settings."

		?	×
← Key	Pair Creation Wizard		
Enter	Details		
	enter your personal details below. If you want more control over the param vanced Settings button.	eter	s, click on
Name:	-		(optional)
EMail:	youremail@domain.com		(optional)
	Protect the generated key with a passphrase.		
	Your Name <youremail@domain.com></youremail@domain.com>		
	Advance	ed Se	ettings
	Create	С	ancel

Step 9: Make your screen match the following settings. Click "ok" to return to the previous screen, and then click "Create."

Note: RSA bit size is the minimum that should be used.

Advanced Settings	- Kleopatra	3	?)	×
Technical Details				
Key Material				
RSA	2,048 bits	\sim		
🗹 + RSA	2,048 bits	\sim		
O DSA	2,048 bits	\sim		
+ Elgamal	2,048 bits	\sim		
O ECDSA/EdDSA	ed25519	\sim		
+ ECDH	cv25519	\sim		
Certificate Usage				
Signing		Certification		
Encryption		Authentication	ı	
Valid until: 08	/01/2025		\sim	
		OK	Cancel	
		UK	Cancer	

Step 10: When prompted for a passphrase for your keys, provide something that you will remember. You will need this passphrase when adding other keys to your key ring.

Note: Create a passphrase that is at least 14 characters, and uses at least one upper case, one lower case, and one number.

🔒 piner	ntry-qt	—		×
	Please enter the protect your ne Passphrase:		e to	
	Repeat:			
		OK	Can	cel

Step 11: Your new key pair has been created. It is very important to make a backup of your key pair and keep it somewhere safe in the event you lose access to your computer, you can reimport your key pair.

	?
 Key Pair Creation Wizard 	
Key Pair Successfully Created	
Your new key pair was created successfully. Please find suggested next steps below.	d details on the result and some
Result	
Key pair created successfully.	
Fingerprint: 418C 666F BD03 79FB 9548 BBE9 C78F	= 0F6E B5D0 C6A2
Fingerprint: 418C 666F BD03 79FB 9548 BBE9 C78F	= 0F6E B5D0 C6A2
Next Steps	Key Pair
Next Steps Make a Backup Of Your I	Key Pair Mail
Next Steps Make a Backup Of Your I Send Public Key By E	Key Pair Mail

Step 12: Once the key pair has been created, select "Export" and then "Upload Public Key to Directory Service."

	?	\times
< Key Pair Creation Wizard		
Key Pair Successfully Created		
Your new key pair was created successfully. Please find details on the result a suggested next steps below.	nd some	
Result 👘 OpenPGP Certificate Export ? 🗙 🚽		
Key pair crea Fingerprint: OpenPGP certificates exported successfully.		
Next Steps		
Make a Backup Of Your Key Pair		
Send Public Key By EMail		
Upload Public Key To Directory Service		
	Fini	sh

Step 13: Once you have created your key pair, Kleopatra shows the contents of your key ring as below: Select the "Import" button and select the Indiana State public key (Indiana Department of Revenue ERF.asc).

Recopitra File View Certificates Tools Settings	Window Help			
	ES ES Q port Certify Lookup on Server	E E Certificates Notepad Smartcards		
Search <alt+q></alt+q>			Al Certificates	ě
Name Firstname Lastname	[-Mail youremail@domain	User-IDs Valid From Valid Until Key-ID certified 08/02/2023 3279 C980 83E3 EE7F		

Step 14: After importing the State public key, you will be prompted to verify its validity, select "Yes."



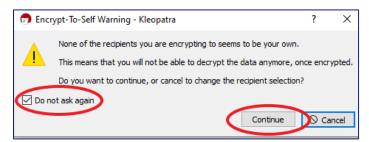
Step 15: When prompted to certify this new key, select "Certify."

ertify with:	Indiana Dept of Revenue <sroe@dor.in.gov> (certified, created: 01/05/2021)</sroe@dor.in.gov>	
🛛 Indiana	Department of Revenue ERF <ratkison@dor.in.gov></ratkison@dor.in.gov>	

Step 16: You will be prompted for the passphrase of your key pair.



Step 17: When importing the State key, you will be prompted to verify. Select "Continue."



Kleopatra Usage

Step 1: To encrypt a file using GPG and Kleopatra for submission to Indiana via SFTP Bulk File, launch Kleopatra. The Kleopatra startup screen should display your key and our public key (Indiana Department of Revenue ERF) that has been imported. Select "Sign/Encrypt" in the upper-left menu.

Firstna	ame Lastname			remail@de kison@do	omain		certified	08/02/2023	stand Quict	3279 C980 83E3 EE7F 7A32 1AC0 DC88 DED2				
Al Ce	Name				E-Mail		User-IDs	Valid From	Valid Until	Key-ID			_	1
Search <a< th=""><th></th><th></th><th></th><th></th><th></th><th></th><th></th><th></th><th></th><th></th><th>A</th><th>Certificates</th><th></th><th></th></a<>											A	Certificates		
gn/Encrypt.	Decrypt/Verify		Eport		Contraction and the second			Smartcards						
View	Certificates Tools	Settings EE	Window	Help	Q	-	E	8						
Kleopatra													-	

Step 2: Navigate to your file and select the file to be encrypted. Then select "Open."

⇒ × ♠ 🗛 Th	DC	(0) . APLE 1			0.0	A51.5.1	
→ * ↑ → Th	s PC > Window	s (C:) > AFileExchangeFo	lder	5 V	,○ Searc	h AFileExchang	,eFolder
ganize 👻 New folde	er					888 👻 🛛	
This PC	Name	^	Date modified	Type Siz	e		
3D Objects	🔂 P00091111	110051634323.xml	07/31/2023 9:46 AM	Extensible Markup	1 KB		
📃 Desktop							
🔮 Documents							
🕹 Downloads							
Music							
E Pictures							
Videos							
🚔 Windows (C:)							
n RPSADMIN (\\S1							
TECH (\\STATE.IF							
FUNC (\\STATE.II							
RPS (\\STATE.IN.							
TOOLS (\\STATE.							
File n	ame: P000911111	110051634323.xml			All Files (*)		```
					Open	_	ncel

Step 3: When first opened, the "Sign/Encrypt" screen will have all the boxes checked as a default. Deselect "Sign as:" and "Encrypt for me:" so that only "Encrypt for others" is left checked, then click in the "Encrypt for others" field where it says, "Please enter a name or email address...", select the "Indiana Department of Revenue ERF" (associated with RAtkinson email), and then select that key.

Sign/Encrypt Files - Kleopatra ? X	📅 Sign/Encrypt Files - Kleopatra ? X
Sign / Encrypt Files Prove authenticity (sign) ✓ Sign as: ✓ Sign as:	Sign / Encrypt Files Prove authentisty (sign) ✓ Sign as: ✓ Firstname Lastname
Control of the set of the se	Sign 65:
Encrypt with password. Anyone you share the password with can read the data. Output Output Output C:/AFileExchangeFolder/P00091111110051634323.xml.gpg Encrypt / Sign each file separately.	Encrypt with password. Anyone you share the password with can read the data. Output Output Output files/folder: C:/AFileExchangeFolder/P00091111110051634323.xml.gpg Encrypt / Sign each file separately.
Sign / Encrypt Cancel	Sign / Encrypt Cancel

Step 4: Note the filename and extension in the bottom text box that is showing the encrypted file that will be produced. Select the "Encrypt" button.

Sign/Encrypt Files	- Kleopatra ?	×
Sign / Encrypt		
Sign as:	Firstname Lastname <youremail@domain> (certified, created: 08/02/2023)</youremail@domain>	3
Encrypt		
Encrypt for me:	Firstname Lastname <youremail@domain> (certified, created: 08/02/2023)</youremail@domain>	
Encrypt for others:	🛃 of Revenue ERF <ratkison@dor.in.gov> (certified, OpenPGP, created: 10/24/2008)</ratkison@dor.in.gov>	2
	Please enter a name or email address	2
Encrypt with passwo	rd. Anyone you share the password with can read the data.	
Output		
Output files/folder:		
C:/AFileExchan	geFolder/P00091111110051634323.xml.gpg	
Encrypt / Sign each	file separately.	
	\frown	

Step 5: Once the "Results"/"Encryption succeeded" screen is displayed, click on "Finish".

👦 Sign/Encrypt Files - Kleopatra	?	×
Results		
Results Status and progress of the crypto operations is shown here.		
OpenPGP: All operations completed.		
P00091111110051634323.xml → P00091111110051634323.xml.gpg: Encryption succeeded.		
Encryption succeeded.		
End ypton successed.		
Finish	Car	ncel

Contact Us

Electronic Services Team

Indiana Department of Revenue 100 North Senate Avenue, IGC N286 Indianapolis, IN 46204-2253 Bulkfiler@dor.IN.gov

APPENDIX A: PGP Setup and Use

PGP (pretty good privacy) is a software package used for encryption of files and emails. PGP is now owned by Symantec and is available for a license fee. PGP is downloadable and available for purchase at https://www.symantec.com/products/information-protection/encryption/command-line.

All of the commands in this document were executed in a Command (DOS) window. These commands can also be executed in a Powershell Window. All commands are shown in Courier New font. Answers to prompts are highlighted in bold red as in the example below:

```
C:\>pgp --gen-key "Your key Name" --key-type "RSA" --encryption-bits 2048

--passphrase "Your passphrase" --signing-bits 2048

Your key Name:generate key (2078:non-standard user ID)

Acquiring entropy from system state...done Generating key Your key

Name progress....****** done

0x7CC44594:generate key (0:key successfully generated)

Acquiring entropy from system state...done Generating subkey

progress....****** done

.....******* done

0xEF5C71EE:generate key (0:subkey successfully generated)
```

In order to use encryption, a key is required. Keys are composed of a private and a public part. When you encrypt a file for submission to DOR, you use the public part of our key; when decrypting, you use the private part of your key. Below is the command to generate a key.

Conventions used in this tutorial:

- Commands are shown in Courier New type in black.
- Answers to prompts are shown in bold red type.
- Substitutions are shown in bold blue type

Install PGP

Purchase, download, and follow the installation instructions from Broadcom.

Note: Use either PGP or GPG, but not both. Using both will encrypt a file twice and cause it to be rejected.

Generate a key

Generating keys is an interactive process. **Note**: You need to remember the passphrase for your key! Execute the following command:

```
C:\> pgp --gen-key "your key name" --key-type "RSA" --encryption-bits 2048
--passphrase "your passphrase for this key" --signing-bits 2048
```

APPENDIX B: SFTP Client Installation and Setup Instructions (WinSCP)

Installation and Setup

The following instructions will guide you through the process on how to install and set up the software to send DOR your files.

- Step 1. <u>Go to the SFTP website</u>
- Step 2. Click GUI (WinSCP Install)
- Step 3. After installing, run WinSCP by double-clicking the desktop icon

Setting Up and Saving a SFTP Session (optional)

- Step 1. Select SFTP for the File Protocol
- Step 2. Populate Host Name with: SFTP.DOR.IN.GOV
- Step 3. Populate Port number with 22
- Step 4. Populate Username with username supplied by DOR. Note this field is case sensitive, so copy paste from supplied email is preferred.
- Step 5. Populate Password with password supplied by DOR.

Note: Due to the complexity of the password and case sensitivity, it is easier to cut and paste the password into the password field.

Click the Save button, supply a site name and folder location (you may wish to save the password).

New Site	Session	
	Ele protocol:	
	SFTP	×
	Host name:	Port number:
	SFTP.DOR.IN.GOV	22 0
	User name:	Password:
	Your User Name	
	Save 😽	Advanced

APPENDIX C: Using WinSCP to Send a File

Double-click the WinSCP icon on your desktop. If you previously saved a stored session, click on the name you saved (Example: Your_user_name@SFTP.DOR.IN.GOV) and click Login.

Vew Site Your User Name@SFTP.DOR.IN.GOV	Session Eile protocol:	
	Host name:	Port number:
	SFTP.DOR.IN.GOV	22
	User name:	Password:
	Your User Name	
	Edit	Advanced *
		No. of the local data was a second data was a

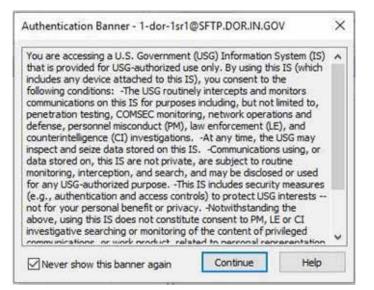
Enter your password (if not saved) and click OK. This window will open, if you do not want to see this screen each time you log in click the Never show this banner again check box.

If you did not provide a password on the logon screen you will get a window where you will be prompted to enter your password.

Note: Due to the complexity of the password, it is easier to cut and paste the password into the password field.

Searching for host	
Connecting to host	
Authenticating	
Using username "Your user Name".	
Password:	
Password:	
Password: •••••• Remember password for this session	

Accept the host keys and Authorized User Policy. Click Continue.



The program window will display and split the local directory and the remote directory as two side-by-side panes.

temp - Your user Name@SFTP.IN.GOV	WinSCP				00	83
Local Mark Files Commands Session	Options R	emote Help				
🎛 😂 📚 Synchronize 🔳 🧬 💽 🧇	🗊 🎒 Que	ue • Transfer Setting	gs Default	. 0	•	
😅 Your user Name@SFTP.IN.GOV 😅 Ne	w Session					
👟 C: OSDisk 🔹 🥶 🔯 🗖		2 CD CD CD CD CD	📜 DC • 🛃 🕅		🔝 🖾 🏠 🖉 🍓 Find Fi	iles *
Till Upload 158 157 Edit 🗙 🚽 15 Proper	iet 🛍 🖻	1 🗄 🖾	Download	a la sat	× 2 Properties *	· ·
C:\temp			DOR_ERF:			
Name	Size	Туре	Name	Size	Changed	Right
k - k Ack 2 P00083771502011001175.xml.gpg	33 KB	Parent directory File folder GPG Encrypted File	k - L OUT L IN		7/23/2014 12:19:40 PM 11/10/2016 10:28:11 AM 11/10/2016 10:32:13 AM	
• [m_		•	3	.111		
0 8 of 32,827 8 in 0 of 2			0 B of 0 B in 0 of	12	SFTP-6 🔍 0:0	6:10

Using the left pane, go to the location where you created your secure PGP/GPG file. Click and drag that file from the left pane and drop it into the IN folder in the right pane. Repeat as desired. When you are done, click the "X" in the upper-right corner to close this screen.

APPENDIX D: Common Errors

Error	Description		
l did not receive an acknowledgement email.	File was not named correctly. Files not adhering to the naming convention will NOT be acknowledged or processed. If you do NOT receive an acknowledgement email, contact DOR at <u>bulkfiler@dor.in.gov</u> before resending any files.		
"File not Found"	File was not encrypted using the department key. <u>See Appendix A</u> for instructions.		
"Duplication filename this calendar year"	Each file submission must have a unique filename within a calendar year. If your file is rejected for "Bad Filename" error, resubmit your file using a new file name and an alteration inside the file such as the "transmissionid" node or "timestamp" node. This will avoid a duplicate file being submitted.		
I do not know the passphrase for PGP.	The passphrase is the phrase you entered when creating your private key. DOR does not retain this information for your security. If you do not remember your passphrase, you can delete your private key and create a new one.		
I cannot log in to the SFTP server.	If you unsuccessfully attempt to log in to sftp.dor.in.gov, check that your firewall allows outbound traffic to host address "SFTP.DOR.IN.GOV".		
Indiana Department of Revenue key is disabled.	Bring up Symantec Encryption Desktop by clicking your start icon in Windows and clicking All Programs>Symantec Encryption>Symantec Encryption Desktop. Then click the view tab at the top. Then click PGP Keys. Find Indiana Department of Revenue ERF and right click it. Then select Enable. This should enable you to use the key.		
Errors in acknowledgements	 The three most common file errors are: Special characters in text fields (e.g., comma (,), period (.), semicolon (;), colon (:), ampersand (&), apostrophe ('), number (#)) Putting decimals into fields that require whole numbers Space at end of text field 		

APPENDIX E: Common Acronyms

Acronym	Description
ACH	Automated Clearing House
DOR	Indiana Department of Revenue
EIN	Employee Identification Number
ERF	Electronic Return Filing
GPG	GNU Privacy Guard (encryption technology)
INTIME	Indiana Taxpayer Information Management Engine (DOR's e-services portal)
ITS	Indiana Tax System (DOR's Tax Processing System)
MEF	Modernized E-File
MVR	Motor Vehicle Rental
PGP	Pretty Good Privacy (encryption technology)
SFTP	Secure File Transfer Portal
TID	Taxpayer State Identifier
WTH	Withholding

APPENDIX F: Form Types, Bulk Filing Methods, and Options

A chart of all the tax form types and the various bulk filing methods and options available for each is available at <u>dor.in.gov/files/dor-efile-methods-bulk.pdf</u>