



**INDIANA DEPARTMENT OF REVENUE
DEPARTMENTAL NOTICE #4
AUGUST 2020
(Replaces Departmental Notice #4 dated October 2018)
Effective Date: Upon Publication**

SUBJECT: FORM SPECIFICATIONS FOR SOFTWARE DEVELOPERS

REFERENCES: 45 IAC 15-3-3

DISCLAIMER: Departmental Notices are intended to provide nontechnical assistance to the general public. Every attempt is made to provide information that is consistent with the appropriate statutes, rules, and court decisions. Any information that is not consistent with the law, regulations, or court decisions is not binding on either the department or the taxpayer. Therefore, the information provided herein should serve only as a foundation for further investigation and study of the current law and procedures related to the subject matter covered herein. This document does not meet the definition of a “statement” required to be published in the Indiana Register under IC 4-22-2-7.

SUMMARY OF CHANGES

Other than nonsubstantive, technical changes, language regarding forms submitted before the end of February receiving highest priority was deleted, language regarding the submission for approval of replica forms only after final version of the forms had been posted was added. Further, forms FAB-103, ST-103, WH-1, and WH-1U were eliminated from the list of controlled forms being reproduced by software vendors.

It is the policy of the Indiana Department of Revenue generally to follow all guidelines set forth in Indiana law 45 IAC 15-3-3. However, this notice provides specific guidance and limitations to developers who want to include Indiana tax forms in their software products. Instructions for registering with the department as well as an overview of the form approval process are included. More specific requirements are posted on webpages that are made available to registered software providers. Forms must not be included in software products until those forms have been approved by the department.

- 1. Software companies intending to reproduce Indiana tax forms must register with the Indiana Department of Revenue and submit sample forms for approval.** A company, using approved forms created by another vendor, must submit forms for approval if they have a 1D barcode or OCR-A scanline. Other forms that have been approved for the supplying form vendor do not need to be submitted for approval but must include the vendor code for the software that prints the forms. (See #12.)
- 2. The registration form is available on the department’s website at www.in.gov/dor/3908.htm.**
- 3. Upon registration, a spreadsheet will be emailed to the company contact. All software developers must complete this spreadsheet indicating the forms**

supported by their software package(s). The completed spreadsheet should be emailed to forms@dor.in.gov.

4. **The password for the Software Developers' area of the website will be changed annually in conjunction with the posting of the next year's forms. Form specifications will be made available** only to those software companies and contact persons who register and submit the spreadsheet of supported forms. The department will not disclose the username and password except to the contact person(s) of each registered software company.
5. **Software packages must not include unapproved forms.** If unapproved forms are received that cannot be processed, they will be returned to the taxpayer. The taxpayer must then refile using the correct form. The department will notify the taxpayer that (s)he is using unapproved software.
6. **The document "Standards for Replica Tax Forms" provides standards that must be met for replica forms to be approved.** This document can be found in the secure area of the website.
7. **To receive approval for computer-generated replica forms, the software developer must submit paper copies of forms to the Forms Testing Coordinator. Read and follow the "Instructions for Submission of Forms for Approval."** The correct shipping address is included in that document.
8. **If a form does not contain a 1D barcode or scanline and has not been revised since approval was granted, it is not necessary to resubmit that form for approval.**
9. **Software utilizing PDF files must include prominent instructions to the user regarding how to print forms without changing the scaling (print size) of the form.** The "Standards for Replica Forms" in the secure area of the website provides additional details.
10. **Replica forms may be submitted for approval after the "final" versions are posted on the website.** Approval or disapproval of forms not requiring imaging testing should be sent within 10 working days of receipt.

Imaging testing is dependent on a series of software updates and should begin in late September. Vendor forms in house at that time will be tested on a first-in-first-out basis. After that backlog is cleared, responses should be expected within 10 working days. See the "Instructions for Submission of Forms for Approval" for the anticipated testing start dates for each form. After the end of February, department

priorities will determine whether forms will be accepted for approval and may cause long turnaround times.

11. **Most “controlled documents” with OCR-A scanlines may not be reproduced. At this time, the only “controlled” forms being reproduced by software developers are as follows:**

- IT-40ES
- IT-6
- IT-6WTH
- PFC (Post Filing Coupon)-COR
- PFC (Post Filing Coupon)-IND

For informational purposes only, developers may request selected copies of controlled forms. The department may make those forms available upon request.

12. **All forms submitted for approval must contain the software company’s unique 4-digit vendor code assigned by the National Association of Computerized Tax Processors (NACTP).** The department will grant no approval if the vendor code is not present. If needed, the NACTP will assign a vendor code. To request a vendor code, go to www.nactp.org/index.php/about-nactp/nactpidrequest.
13. **The department will provide updates and special instructions for each tax year in the Software Developers’ area of the secure website. The responsibility rests on the software developer to check this section for updates in a timely manner.** At times, information will also be distributed to all registered software companies and contact persons via email. Developers are also encouraged to subscribe to email updates on the department website. To do so, go to the home page, <https://secure.in.gov/dor/index.htm>, click the red exclamation mark, and indicate which webpages are to be tracked. An email notification will be sent whenever those pages are updated.
14. **Software developers must notify the Forms Testing Coordinator as soon as an error has been identified in their released product(s).** They must also notify the department of the date they sent an updated release of the software to correct the errors. The department must have this information to intercept potential problems these errors could cause during processing. The department can then discern whether the tax practitioners or taxpayers involved need to be notified accordingly.
15. **Information regarding approved and disapproved software will be made available to taxpayers upon request.**

16. **Software developers are responsible for updating contact information by using the online registration process when changes occur.** All registrants will be placed on an email distribution list through which information will be disseminated as necessary.
17. **The department reserves the right to disapprove all forms submitted from a software developer found to be selling a product that violates any of these specifications. The department will also make that information public knowledge until the violation(s) has been resolved.**
18. **The department reserves the right to deny participation in any program** if a company is required to be registered to do business in the state but is not registered or if a company has any outstanding tax liabilities with the state. If this is the case, the department will inform the company's contact person.

Any questions regarding this document and other software developer inquiries should be directed to the Forms Testing Coordinator:

Tom Hale
Email: forms@dor.in.gov


Robert J. Grennes, Jr.
Commissioner