

**SDT
TRADING PARTNER
HANDBOOK
FOR FEDSTATE AGENCIES**

for use with
IRS Secure Data Transfer

Version TPH FS 08-001

Revised 7-20-08

SDT TRADING PARTNER HANDBOOK FOR FedState Agencies

TABLE OF CONTENTS

	<u>Section</u>
GENERAL INFORMATION	
Introduction	1
Background	2
Description	3
Establishing an SDT Account with IRS	4
TUMBLEWEED'S SECURETRANSPORT	
Description.....	5A
Installation	5B
Operating Systems	5C
Hardware Requirements	5D
Protocols	5E
Encryption	5F
Download Files from IRS	5G
Costs & Maintenance	5H
Tumbleweed Global Support Contact Information.....	5I
IDENTRUST ACES BUSINESS REPRESENTATIVE DIGITAL CERTIFICATES	
Description... ..	6A
Costs & Renewals	6B
Registration	6C
Installation & Use	6D
Identrust Support Contact Information	6E
ACCOUNT MAINTENANCE	
Establishing an SDT Account	7A
Account Identification	7B
Point-of-Contact (POC) Requirement	7C
Updates to Account Information	7D
LEGAL REQUIREMENTS	
Accounting Requirements	8A
Safeguard Requirements	8B
INFORMATION ABOUT IRS FILES RECEIVED VIA SDT	
Downloading Files from IRS	9A
File Delivery Notification (FDN)	9B
File Format	9C

SDT TRADING PARTNER HANDBOOK FOR FedState Agencies

CUSTOMER SUPPORT

Administrative Issues & Technical Questions10A
Requests for File Retransmission and/or Format Change10B
Reporting a PII Breach.....10C
Reporting a Misrouted File10D
Safeguards Questions (Storage, Access, Security)10E

Appendices

User ID ListAppendix A
IRS Governmental Liaisons (GL)Appendix B
Frequently Asked Questions (FAQ)Appendix C

PREFACE

The *SDT Trading Partner Handbook for FedState Agencies*, version TPH FS 08-001, contains information needed to participate in the IRS Secure Data Transfer (SDT) program for secure, electronic file exchange over the Internet. The target audience is FedState agencies. These are Federal, state and municipal Government agencies that exchange data with IRS for purposes of tax administration and/or benefits administration.

IRS has many data exchange programs with private entities, in addition to our data exchanges with FedState agencies. The *SDT Trading Partner Handbook for FedState Agencies* is not for use by private entities that exchange data with IRS, nor does it address their particular needs. Private entities should contact the individual within IRS assigned to their program for more information.

SDT is currently being used to provide IRS files to FedState agencies. SDT has not yet been approved for use by FedState agencies to send files to IRS. We are in the early stages of testing SDT for incoming files; if successful, we hope to implement SDT for incoming files even if only as an interim solution. IRS is looking into alternative solutions for incoming files that may better meet the needs of all of our trading partners for the long term. For more information on the status of using SDT to send files to IRS, FedState agencies should contact their local IRS Governmental Liaison (GL). A list of GL's may be found in Appendix B.

Copies of the *SDT Trading Partner Handbook for FedState Agencies* will be made available on FTA's TaxExchange web site at www.taxexchange.org, or from your local IRS Governmental Liaison (GL).

General Information

1. Introduction

The *SDT Trading Partner Handbook for FedState Agencies* provides information for Federal, state and municipal agencies that use Secure Data Transfer (SDT) to exchange data with IRS. It describes requirements for these agencies and provides information on installation, operations and customer support. Federal, state and municipal agencies may be referred to as FedState agencies or trading partners throughout this document.

2. Background

In the summer of 2006, all Federal agencies received instructions from OMB to deploy encryption technologies to properly secure all removable media which contains SBU (Sensitive But Unclassified) data and/or PII (Personally Identifiable Information). IRS has a long history of generating magnetic tapes and exchanging them with FedState agencies, thus the challenge was to either encrypt or eliminate the tapes. Since tapes being placed in the mail or into the hands of a courier can potentially be lost, stolen or damaged, IRS opted to eliminate those tapes altogether by deploying a secure, electronic file transfer process using the Internet.

3. Description

Secure Data Transfer (SDT) is a means to exchange files with FedState agencies electronically in a secure and automated environment over the Internet. SDT is currently used to deliver outgoing files to FedState agencies; use of SDT for incoming files is in the early states of testing. SDT uses Tumbleweed's SecureTransport software, a Commercial-off-the-Shelf (COTS) product that meets all required security standards and provides many benefits from a business and security standpoint. IRS is using digital certificates issued by Identrust, a third-party Certificate Authority (CA), for user authentication.

4. Establishing an SDT Account with IRS

In order to exchange files with IRS using SDT, FedState agencies must first establish an SDT account. This involves installation of Tumbleweed's SecureTransport software and registration for an Identrust ACES Business Representative digital certificate for user authentication. If a FedState agency is unsure of whether or not they are required to use SDT, they should contact their IRS Government Liaison (GL). A list of Governmental Liaisons may be found in Appendix B.

For information on account maintenance including how to update your account information, please see Section 7, *Account Maintenance*.

5. Tumbleweed's SecureTransport

5A. Description

Tumbleweed's SecureTransport is a Commercial-off-the-Shelf (COTS) product used for secure, automated file transfers over the Internet. It meets all required security standards and provides many benefits from a business and security standpoint. Tumbleweed is the company name while SecureTransport is the product name.

5B. Installation

The first step in the Tumbleweed installation process is to contact the SDT team at sdthelp@irs.gov. Tell the IRS technician that you would like to establish an SDT account and that you need to install Tumbleweed's SecureTransport software. When contacting the SDT team, you will need to provide the following information:

- your agency's complete name and User ID. The User ID is used to identify your agency within IRS. It is a combination of the alpha code, usually a state abbreviation or a Federal agency acronym, and the 3-digit numeric agency code assigned by IRS. For a list of User ID's, see Appendix A, *User ID List*.
- your name, telephone number and e-mail address.
- the name of the Operating System (OS) you will be using – Windows, Linux, etc. A list of OS supported by SDT may be found in the *Operating Systems* section of this document.

The SDT team will provide all necessary instructions and documents; you will also receive a unique Tumbleweed registration key for SecureTransport installation. An IRS technician will walk you through the installation process. There is no cost to FedState agencies for Tumbleweed's SecureTransport; costs will be paid by IRS. For more information, please see Section 5H, *Costs and Maintenance*.

5C. Operating Systems

SecureTransport supports a variety of Operating Systems (OS). When contacting the SDT team, tell them which OS you will be using so that they may provide you with the appropriate SecureTransport User Guide. The following Operating Systems are supported:

- Windows 2000 Professional/Server SP4,
- Windows XP Professional SP2, Windows 2003 SP1/R2
- Solaris: Solaris 8, Solaris 9
- AIX: AIX 5.2, AIX 5.3
- HP-UX: HP-UX B.11.00
- Linux: RedHat Linux Enterprise Edition 3.0

5D. Hardware Requirements

Tumbleweed's SecureTransport has the following minimal hardware requirements:

- 133 MHz (or faster) Pentium-compatible processor
- 64 MB RAM (or higher)
- 20 MB of free hard disk space

5E. Protocols

SecureTransport will require outbound port 11443 to be opened in the FedState agency firewall. IRS will be using Hyper Text Transfer Protocol (HTTPS) for the Tumbleweed connection. The connection will be initiated on the FedState agency end; the FedState agency will be pulling data from the IRS server. IRS will not push data through the FedState agency firewall to the FedState agency server.

Only an outbound HTTPS port needs to be open; no other ports on the FedState agency side need to be opened for SDT. Unsolicited inbound traffic will not be permitted past the IRS firewall. The IRS firewall will allow inbound 11443 as long as the FedState agency initiates the connection. The IRS will not initiate a connection to the FedState agency.

FedState agencies should access the IRS Tumbleweed server by going to sdt.irs.gov as opposed to using an IP address. In this way, the FedState agency will continue to have access should the IRS IP address change. For this reason, IRS is not providing the IP address to FedState agencies or to other trading partners.

5F. Encryption

The SecureTransport product uses Secure Socket Layer (SSL) 3.0, 128 bit encryption.

5G. Downloading Files

For information on downloading files from IRS via SDT, please see Section 6A: *Downloading Files from IRS*.

5H. Costs and Maintenance

The cost and maintenance of Tumbleweed's SecureTransport is being covered by IRS. Since IRS is covering the maintenance fee for all clients, maintaining a current release including all software upgrades should not be an issue for FedState agencies. FedState agencies should incur no costs for SecureTransport.

Should a FedState agency change their operating system and have questions about how use of SDT may be affected, they should contact sdthelp@irs.gov for assistance. Agencies may also contact Tumbleweed support directly.

5I. Tumbleweed Global Support Contact Information

- Global Support Helpline: 650-216-2109
- Global Support Online: <http://www.tumbleweed.com/support/>
- Global Support e-mail: support@tumbleweed.com
- Customer Service, License Keys and Shipping Orders: cust.services@tumbleweed.com

6. Identrust ACES Business Representative Digital Certificates

6A. Description

IRS is using ACES Business Representative digital certificates issued by Identrust, a third-party Certificate Authority, for user authentication. Passwords will not be used for authentication for SDT.

ACES is a federal government sponsored program that enables individuals and businesses to conduct business with the government electronically via the use of digital signature technology. Identrust operates its digital certificate and repository services under the ACES contract and issues digital certificates under ACES task orders from federal agencies.

ACES Business Representative digital certificates are issued to individuals, not to the agency. FedState agencies must identify individuals to serve as certificate holders; each individual must then apply to Identrust for a certificate. Holding a certificate enables the individual to authenticate himself or herself as an employee of a valid business in government transactions to gain access to restricted web sites.

Processing of the digital certificate application is carried out by an Identrust Registration Agent. The process consists of validating an individual's personal information against independent data sources and sources within the individual's organization.

IRS recommends that each agency have at least two certificate holders. A certificate holder should always protect passwords and passphrases associated with the certificate, and should never let another person use the certificate. A violation of these security rules would compromise the security of the digital certificate, requiring it to be revoked.

6B. Costs and Renewals

Each digital certificate is good for two years and costs \$119. FedState agencies are responsible for this cost. You will be notified directly by Identrust when it is time to renew your certificate.

6C. Registration

The Identrust document entitled *Understanding the Registration Process - ACES Business Representative Certificate*, provides step-by-step instructions to complete the Identrust registration process. The document is available at www.Indentrust.com, or from your IRS Governmental Liaison.

6D. Installation & Use

Once your application has been approved and registration is complete, you will receive a hard copy of your certificate via US Mail from Identrust. Upon receipt, you must e-mail the SDT team at sdthelp@irs.gov and request assistance with the installation of the certificate.

When contacting the SDT team you will need to provide the following information:

- your agency's complete name and User ID. The User ID is used to identify your agency within IRS. It is a combination of the alpha code, usually a state abbreviation or a Federal agency acronym, and the 3-digit numeric agency code assigned by IRS. For a list of User ID's, see Appendix A, *User ID List*.
- your contact information including your name, telephone number and e-mail address.
- the name of the individuals at your agency holding digital certificates.

The IRS technician will walk you through the certificate installation process and help you export your public key. Once these activities are complete, you will be able to use the certificate for authentication each time you logon to the SDT server.

6E. Identrust Support Contact Information

You may contact Identrust directly using the following contact information:

- Identrust Tech Support: 1-888-248-4447
- Identrust Customer Support: www.identrust.com
- Identrust Web Site IRS Page: <http://www.identrust.com/irs/sdt/>.

7. Account Maintenance

In order to exchange files with IRS using SDT, FedState agencies must first establish an SDT account. This involves installation of Tumbleweed's SecureTransport software and registration for an Identrust ACES Business Representative digital certificate for user authentication. For more information on establishing an SDT account, please see Section 4, *Establishing an SDT Account with IRS*.

7A. Account Identification

FedState agencies are identified within IRS by a User ID which consists of an alpha code followed by a numeric agency code. For the alpha code, the state abbreviation is used for state and municipal agencies. For example, the alpha code for Pennsylvania is PA, the state abbreviation. The alpha code for Philadelphia is also PA since Philadelphia is located within Pennsylvania. For Federal Agencies, the alpha code is an acronym for the agency name; the US Department of Justice is DOJ while the National Institute of Safety and Health is NIOSH.

In addition to the alpha code, a 3-digit numeric agency code is assigned by IRS. The agency code for the Pennsylvania Department of Revenue is 123; therefore the User ID for this agency is PA123 which is the alpha code, PA, followed by the agency code, 123. It is important for agencies to include their User ID in all communication with IRS; if you do not know your User ID, please see Appendix A, *User ID list*.

7B. Point-of-Contact Requirement

IRS requires that two Points of Contact (POC) be identified by the FedState agency. The first is the SDT POC. The SDT POC is the person that IRS contacts when there are issues with file transfers, account configuration, authentication problems, or other technical issues. The second is the File Delivery Notification (FDN) POC. The FDN POC is a group e-mail address to which automated e-mails are sent whenever a file is placed in the FedState agency's folder on the Tumbleweed server. For more information on the FDN POC, see Section 9B, *File Delivery Notification (FDN)*.

To change POC information on your SDT account, contact the SDT Help Desk at sdthelp@irs.gov and provide the technician with the new information.

7C. Updates to Account Information

FedState agencies are responsible to ensure that their SDT account information is current at all times. Changes may be made by contacting the SDT Help Desk at sdthelp@irs.gov and providing the technician with the new account information.

8. Legal Requirements

8A. Accounting Requirements

FedState agencies must establish procedures to track and account for IRS data from receipt to disposition, as outlined in Pub 1075, *Tax Information Security Guidelines for Federal, State and Local Agencies and Entities* (rev 10/2007). This publication is available at www.irs.gov or from your local IRS Governmental Liaison (GL). FedState agencies should ensure that the individual responsible for accounting for receipt of IRS data receives the *control file* that accompanies each *data file* on SDT. The control file contains metadata about the data file including the record count. For more information on control files, see Section 9A, *Downloading Files from IRS*.

All IRS files should be checked within ten (10) days of receipt to ensure that the file is complete, intact and usable. The control file may be used to verify that the complete file has been received. If the file is incomplete or unable to be read, a request for file retransmission should be made by calling the IRS Enterprise Help Desk at 866-743-5748. Also see Section 10B, *Requests for File Retransmission and/or Format Change*.

8B. Safeguard Requirements

Because IRS data contains Personally Identifiable Information (PII) and Sensitive But Unclassified (SBU) data, FedState agencies must protect IRS data in compliance with IRS Publication 1075, *Tax Information Security Guidelines for Federal, State and Local Agencies and Entities* (rev 10/2007). This publication is available at www.irs.gov or from your local IRS Governmental Liaison (GL). A list of Governmental Liaisons may be found in Appendix B.

Personally Identifiable Information (PII)

Personally Identifiable Information (PII) is any personal information that is linked or linkable to an individual. Examples include an individual's name, social security number, date and place of birth, mother's maiden name, financial transactions, medical history, and criminal or employment history. A PII breach is any incident where PII is lost, misused, or compromised. Anytime there is a breach of PII, the incident must be reported to IRS. For more information, refer to Section 10C: *Reporting of a PII Breach*.

Sensitive But Unclassified (SBU) Data

Sensitive But Unclassified (SBU) data is any information which if lost, misused, modified, or disclosed without authorization could adversely affect national interest or the operation of Federal programs, but which has not been specifically authorized to be kept secret in the interest of national defense.

The IRS Office of Safeguards is responsible for ensuring that agencies receiving Federal Tax Information protect the confidentiality of the data and meet safeguarding requirements. Questions on these requirements should be sent to your local IRS Governmental Liaison (GL), with a request that the question be forwarded to the Office of Safeguards (see Section 10E, *Safeguards Questions*, for more information).

9. Information About IRS Files Received via SDT

9A. Downloading Files from IRS

FedState agencies must download all files from the IRS Tumbleweed (TW) server. Agencies should access the TW server by going to sdt.irs.gov. Each *data file* will be accompanied by a *control file*. The *control file* contains metadata about the *data file* including the record count. The *control file* is a separate file placed on the TW server with the *data file*, thus the FedState agency is actually downloading two separate files.

Whenever a file is placed on the Tumbleweed (TW) server, an e-mail will be sent to the agency notifying them that a file is available for download. This automated process is referred to as *File Delivery Notification (FDN)*. Once placed on the TW server, the file will be available for 10 days. After 10 days, the file will be removed from the TW server whether or not it has been downloaded by the FedState agency. However, files will be archived for a period of time known as the *File Recreation Period*, which is usually 60 days with the exception of the PTIN extract which is 30 days. Agencies may request that a file be retransmitted during the File Recreation Period. See Section 10B, *Requests for File Retransmission and/or Format Change*, for more information.

Agencies may opt to automate the file download process and schedule it daily, thus ensuring receipt of all files placed on the IRS TW server. IRS strongly recommends this option.

9B. File Delivery Notification (FDN)

An automated e-mail will be generated and sent to the FedState agency whenever a file is placed on the IRS Tumbleweed (TW) server and available for download. This process is referred to as *File Delivery Notification (FDN)*. The e-mail will be sent within 6 hours of the file being placed on the TW server. The notification will be sent to a group e-mail address provided by the FedState agency specifically for this purpose; the group e-mail is known as the *FDN Point of Contact (POC)*. IRS recommends that at the very least, the Identrust certificate holder(s) and the person responsible for accounting for receipt of IRS data at the agency are included on this group e-mail.

9C. File Format

All files, both data files and control files, will be sent in ASCII format. Data files will be sent with a .txt extension following the dataset name while control files will be sent with a .cntl.txt extension following the dataset name. These extensions will identify the files as being in ASCII format, and will distinguish the control file from the data file.

Certain data files will be made available in EBCDIC format if requested by the FedState agency. To request a change of format, contact the IRS Enterprise Help Desk at 866-743-5748. Once this format change has been made, it will affect all future deliveries of that particular file. For more information on requesting a format change, refer to Section 10B: *Requests for File Retransmission and/or Format Change*.

10. Customer Support

Many different work groups within IRS provide support for various aspects of data exchange programs. However, FedState agencies only need to know three points of contact. These are as follows:

- SDT Help Desk (sdthelp@irs.gov): for technical questions & SDT account issues such as questions on a file name, problems with file transmission, or a change to SDT account information.
- Enterprise Service Desk (866-743-5748): for requests for file retransmission, format change, or reporting a PII Breach.
- Local IRS Governmental Liaison (GL): for questions about extract content, safeguard issues, and all other questions not included in the first two categories above. When in doubt about which contact to use, FedState agencies should always contact their local GL. If unsure of your local GL, see Appendix B, *IRS Governmental Liaisons*.

10A. Administrative Issues & Technical Questions

Administrative issues such as a request to change SDT account information should be sent to sdthlep@irs.gov. Technical questions regarding the operation of the IRS Secure Data Transfer system should also be sent to sdthelp@irs.gov. FedState agencies may also contact Tumbleweed directly for help with the SecureTransport software, and Identrust directly for help with digital certificates. Contact information for Tumbleweed may be found in Section 5I, *Tumbleweed Global Support Contact Information*; contact information for Identrust may be found in Section 6E, *Identrust Support Contact Information*.

10B. Requests for File Retransmission and/or Format Change

To request that a file be retransmitted or to request a format change, call the Enterprise Service Desk at 866-743-5748 and ask that a ticket be opened and assigned to **EOPS-ECC-MOB-ISS-IUA1**. You must provide the following information:

- the FedState agency's complete name
- the FedState agency's User ID (alpha code and 3-digit numeric code); a list of User ID's may be found in Appendix A
- the reason for the call – file retransmission, format change, etc.
- the SDT file name
- the date when the file was or should have been received
- the name, position title and contact information of the person calling

10C. Reporting a PII Breach

A PII breach is any incident where Personally Identifiable Information (PII) is lost, misused, or compromised. PII breaches should be reported immediately upon discovery.

To report a PII breach, call the Enterprise Service Desk at 866-743-5748 and ask that a ticket be opened and assigned to **EOPS-ECC-MOB-ISS-IUA1**. You must provide the following information:

- the FedState agency's complete name
- the FedState agency's User ID (alpha code and 3-digit numeric code); a list of User ID's may be found in Appendix A
- a description of the incident including the date
- the SDT file name
- the name, position title and contact information of the person calling

You will be contacted by IRS if additional information is needed, or if there is any action required on your part.

10D. Reporting a Misrouted File

A misrouted file is a file that has been sent to a FedState agency in error. If you receive a misrouted file, delete the file from all agency computer systems. Notify the SDT Help Desk by sending an e-mail to sdthelp@irs.gov stating that the file was received in error and that it has been deleted from your agency's computer systems. The e-mail should include the following information:

- the FedState agency's complete name
- the FedState agency's User ID (alpha code and 3-digit numeric code); a list of User ID's may be found in Appendix A
- the SDT file name
- the date the misrouted file was received
- a statement that the misrouted file has been deleted from the FedState agency's computer systems
- the name, position title and contact information of the person calling

10E. Safeguards Questions (Storage, Access, Security)

Questions regarding the secure storage and proper disposal of IRS data, access controls and computer security issues should be sent to your local IRS Governmental Liaison (GL), with a request that the question be forwarded to the Office of Safeguards. The Office of Safeguards is responsible for ensuring that FedState agencies receiving Federal Tax Information protect the confidentiality of the data and meet safeguarding requirements contained in IRS Publication 1075, *Tax Information Security Guidelines for Federal, State and Local Agencies and Entities* (rev 10/2007). This publication is available at www.irs.gov or from your local IRS Governmental Liaison. A list of Governmental Liaisons may be found in Appendix B.

SDT TRADING PARTNER HANDBOOK FOR FedState Agencies

APPENDIX A: USER ID'S FOR FEDSTATE AGENCIES	
<i>User ID</i>	<i>Agency Name</i>
State Tax & Revenue Agencies	
AK192	AK DEPT OF REVENUE
AL163	AL DEPT OF REVENUE
AR171	AR DEPT OF FINANCE & AUDIT
AZ186	AZ DEPT OF REVENUE
CA194	CA FRANCHISE TAX BOARD
CA494	CA STATE BOARD OF EQUALIZATION
CO184	CO DEPT OF REVENUE
CT106	CT DEPT OF REVENUE
DC153	DC OFFICE OF TAX & REVENUE
DE151	DE DIVISION OF REVENUE
FL159	FL DEPT OF REVENUE
GA158	GA DEPT OF REVENUE
HI199	HI DEPT OF TAXATION
IA142	IA DEPT OF REVENUE
ID182	ID STATE TAX COMMISSION
IL136	IL DEPT OF REVENUE
IL636	IL ATTORNEY GENERAL
IN135	IN DEPT OF REVENUE
KS148	KS DEPT OF REVENUE
KY161	KY DEPT OF REVENUE
LA172	LA DEPT OF REVENUE
MA104	MA DEPT OF REVENUE
MD152	MD COMPTROLLER OF MARYLAND
MD552	MD DEPT OF ASSESSMENTS & TAX
ME101	ME REVENUE SERVICES
MI138	MI DEPT OF TREASURY
MN141	MN DEPT OF REVENUE
MO143	MO DEPT OF REVENUE
MS164	MS STATE TAX COMMISSION
MT181	MT DEPT OF REVENUE
MT581	MT DEPT OF TRANSPORTATION
NC156	NC DEPT OF REVENUE
ND145	ND OFFICE OF STATE TAX COMM
NE147	NE DEPT OF REVENUE
NH102	NH DEPT OF REV ADMINISTRATION
NJ122	NJ DIVISION OF TAXATION
NJ140	NJ DIV OF REVENUE
NM185	NM TAXATION & REVENUE DEPT
NV188	NV DEPT OF TAXATION

SDT TRADING PARTNER HANDBOOK FOR FedState Agencies

APPENDIX A: USER ID'S FOR FEDSTATE AGENCIES	
<i>User ID</i>	<i>Agency Name</i>
NY111	NY DEPT OF TAXATION & FINANCE
OH131	OH DEPT OF TAXATION
OK173	OK TAX COMMISSION
OR193	OR DEPT OF REVENUE
PA123	PA DEPT OF REVENUE
RI105	RI DIVISION OF TAXATION
SC157	SC DEPT OF REVENUE
SD146	SD DEPT OF REVENUE & REGULATION
TN162	TN DEPT OF REVENUE
TX174	TX COMPTROLLER OF PUBLIC ACCTS
UT187	UT STATE TAX COMMISSION
VA154	VA DEPT OF TAXATION
VT103	VT DEPT OF TAXES
WA191	WA DEPT OF REVENUE
WI139	WI DEPT OF REVENUE
WV155	WV STATE TAX DEPT
WY383	WY DEPT OF AUDIT
<i>City Tax & Revenue Agencies</i>	
KY261	KY LOUISVILLE/JEFF CO METRO REV
KY361	KY LEXINGTON/FAYETTE URBAN CTY
MI238	MI DETROIT FINANCE DEPT
MO343	MO ST LOUIS COLLECTOR OF REVENUE
MO243	MO CITY OF KCMO REVENUE DIVISION
NY113	NY CITY DEPT OF FINANCE
OH031	OH CITY OF TOLEDO
OH133	OH CITY OF CLEVELAND
OH231	OH CITY OF CINCINNATI
OH431	OH CITY OF COLUMBUS INC TAX DIV
PA223	PA CITY OF PHILADELPHIA DOR
PA233	PA CITY OF PITTSBURGH DOF
<i>State Workforce Agencies / Labor Departments</i>	
AR971	AR DEPT OF WORKFORCE SERV
AZ986	AD DEPT OF ECON SECURITY
CO984	CO DEPT OF LABOR & EMPL
ID882	ID DEPT OF COMMERCE & LABOR
IN735	IN DEPT OF WORKFORCE DEV
KY961	KY DIVISION OF UNEMPLOYMENT INS
MA904	MA DIV OF UNEMPLOYMENT ASSIST
MI938	MI UNEMPLOYMENT AGENCY
MN941	MN DEPT OF EMPLOY & ECON DEV
MO943	MO DIVISION OF EMPLOYMENT SEC

SDT TRADING PARTNER HANDBOOK FOR FedState Agencies

APPENDIX A: USER ID'S FOR FEDSTATE AGENCIES	
<i>User ID</i>	<i>Agency Name</i>
NC956	NC EMPLOYMENT SEC COMM
ND945	ND JOB SERVICE
NE947	NE DEPT OF LABOR
NH902	NH EMPLOYMENT SECURITY
NJ922	NJ DEPT OF LABOR
NY911	NY STATE DEPT OF LABOR
OH931	OH DEPT OF JOB & FAMILY SERVICES
PA923	PA DEPT OF LABOR & IND/UC TAX SER
SC957	SC EMPLOYMENT SECURITY COMM
SD946	SD DEPT OF LABOR
UT987	UT DEPT OF WORKFORCE SERVICES
VT903	VT DEPT OF LABOR
WA291	WA DEPT OF LABOR & IND
WA991	WA EMPLOYMENT SEC DEPT
WI939	WI DEPT WORKFORCE DEVELOPMENT
<i>State Health & Human Services Agencies</i>	
AK615	AK DEPT OF HEALTH & SOCIAL SVC
AL637	AL DEPT OF HUMAN SERVICES
AL638	AL MEDICAID AGENCY
AR621	AR DEPT OF HEALTH AND HUMAN SVCS
AZ618	AZ DEPT OF ECONOMIC SECURITY
CA625	CA DEPT OF SOCIAL SERVICES
CT679	CT DEPT OF SOCIAL SERVICES
DC667	DC DEPT OF HUMAN SERVICES
DE623	DE DEPT OF HEALTH & SOCIAL SVCS
FL678	FL DEPT OF CHILDREN & FAMILIES
HI633	HI DEPT OF HUMAN SERVICES
IA624	IA DEPT OF HUMAN SERVICES
ID613	ID DEPT OF HEALTH & WELFARE
IL671	IL DEPT OF HUMAN SERVICES
IN622	IN FAMILY & SOCIAL SERVICES ADMIN
KS603	KS DIVISION OF HEALTH POLICY & FIN
KY630	KY CABINET FOR HEALTH&FAMILY SVCS
LA635	LA DEPT OF HEALTH & HOSPITALS
MA675	MA DEPT OF TRANSTIONAL ASSISTANCE
MD689	MD DEPT OF HUMAN SERVICES
ME626	ME DEPT OF HEALTH & HUMAN SVCS
MI687	MI DEPT OF HUMAN SERVICES
MN680	MN DEPT OF SOCIAL SERVICES
MO609	MO DEPT OF SOCIAL SERVICES
MS665	MS DEPT OF HUMAN SERVICES

SDT TRADING PARTNER HANDBOOK FOR FedState Agencies

APPENDIX A: USER ID'S FOR FEDSTATE AGENCIES	
<i>User ID</i>	<i>Agency Name</i>
MT612	MT DEPT OF PUBLIC HEALTH &
NC627	NC DEPT OF HEALTH & HUMAN SVCS
ND650	ND DEPT OF HUMAN SERVICES
NE632	NE HEALTH AND HUMAN SERVICES SYS.
NH649	NH DEPT OF HEALTH & HUMAN SVCS
NJ605	NJ DEPT OF HUMAN SERVICES
NM676	NM HUMAN SERVICES DEPT
NV661	NV DEPT OF HEALTH & HUMAN SERVICES
NY607	NY OFFICE OF TEMP & DISABILITY ASST
OH634	OH DEPT OF JOB & FAMILY SVCS
OK619	OK DEPT OF HUMAN SERVICES
OR670	OR DEPT OF HUMAN RESOURCES
PA677	PA DEPT OF PUBLIC WELFARE
RI610	RI DEPT OF HUMAN SERVICES
SC629	SC DEPT OF SOCIAL SERVICES
SD668	SD DEPT OF SOCIAL SERVICES
TN601	TN DEPT OF SOCIAL SERVICES
TX640	TX HEALTH & HUMAN SERVICES COMM
VA620	VA DEPT OF SOCIAL SERVICES
VT643	VT DEPT FOR CHRN&FAMILY, ECN SVCS
UT628	UT DEPT OF WORKFORCE SERVICES
WA644	WA DEPT OF SOCIAL & HEALTH SVCS
WI604	WI DEPT OF HEALTH AND FAMILY SRVCS
WI614	WI DEPT OF WORKFORCE DEV.
WV616	WV DEPT OF HEALTH AND HUMAN SVCS
WY617	WY DEPT OF FAMILY SERVICES
Federal Agencies	
NIOSH456	NAT'L INSTITUTE SAFETY/ HEALTH
DOJ654	DEPT OF JUSTICE

SDT TRADING PARTNER HANDBOOK FOR FedState Agencies

APPENDIX B: IRS GOVERNMENTAL LIAISONS				
State Abbrev	State Name	First Name	Last Name	e-mail
AK	Alaska	Deborah	Diamond	deborah.a.diamond@irs.gov
AL	Alabama	Wanda	Jones	wanda.jones@irs.gov
AR	Arkansas	Jamye	Williams	jamye.b.williams@irs.gov
AS	American Samoa	Kyle	Roberts	kyle.g.roberts@irs.gov
AZ	Arizona	Monica	Orona	monica.g.orona@irs.gov
CA-N	California – North	Gary	Renville	gary.renville@irs.gov
CA-S	California – South	David	Yau	david.yau@irs.gov
CO	Colorado	Michael	Rogers	michael.a.rogers@irs.gov
CT	Connecticut	Paul	Borderi	paul.c.borderi@irs.gov
DC	Washington DC	Rose	Russell	rose.russell@irs.gov
DE	Delaware	Thomas	Sutor	thomas.sutor@irs.gov
FL-N	Florida – North	Gloria	Sutton	gloria.sutton@irs.gov
FL-S	Florida – South	Deneen	Robinson	deneen.robinson@irs.gov
GA	Georgia	Sandra	Adams	sandra.h.adams@irs.gov
GU	Guam	Kyle	Roberts	kyle.g.roberts@irs.gov
HI	Hawaii	Jerry	Hiramoto	jerry.t.hiramoto@irs.gov
IA	Iowa	Robert	Arango	robert.p.arango@irs.gov
ID	Idaho	Deborah	Diamond	deborah.a.diamond@irs.gov
IL	Illinois	Lynda	Dyer	lynda.dyer@irs.gov
IN	Indiana	Carol	Dale	carol.dale@irs.gov
KS	Kansas	Melba	Tyson-Neal	melba.a.tyson@irs.gov
KY	Kentucky	Carol	Dale	carol.dale@irs.gov
LA	Louisiana	Steven	St Cyr	steven.stcyr@irs.gov
MA	Massachusetts	Daniel	Porter	dan.c.porter@irs.gov
MD	Maryland	Kyle	Roberts	kyle.g.roberts@irs.gov
ME	Maine	James	Harris	james.e.harris@irs.gov
MI	Michigan	Gregory	Turner	gregory.g.turner@irs.gov
MN	Minnesota	Michelle	Benson	michelle.p.benson@irs.gov
MO	Missouri	Thomas (Mark)	Waddell	thomas.m.waddell@irs.gov
MP	Northern Mariana Islands	Kyle	Roberts	kyle.g.roberts@irs.gov
MS	Mississippi	Wanda	Jones	wanda.jones@irs.gov
MT	Montana	Barbara	Haugh	barbara.a.haugh@irs.gov
NC	North Carolina	Joan	Mizelle	joan.proctor@irs.gov
ND	North Dakota	Michelle	Benson	michelle.p.benson@irs.gov
NE	Nebraska	Melba	Tyson-Neal	melba.a.tyson@irs.gov
NH	New Hampshire	James	Harris	james.e.harris@irs.gov
NJ	New Jersey	James	Harris	james.e.harris@irs.gov
NM	New Mexico	Monica	Orona	monica.g.orona@irs.gov
NV	Nevada	David	Yau	david.yau@irs.gov

SDT TRADING PARTNER HANDBOOK FOR FedState Agencies

APPENDIX B: IRS GOVERNMENTAL LIAISONS				
State Abbrev	State Name	First Name	Last Name	e-mail
NY	New York	John	Tuohy	john.j.tuohy@irs.gov
NY	New York City	Dick	Eggleston	richard.h.eggleston@irs.gov
OH	Ohio	Jacqueline	Nielson	jacqueline.r.nielson@irs.gov
OK	Oklahoma	Thomas (Mark)	Waddell	thomas.m.waddell@irs.gov
OR	Oregon	Robert	Erickson	robert.erickson@irs.gov
PA	Pennsylvania	Thomas	Sutor	thomas.sutor@irs.gov
PR	Puerto Rico	Kyle	Roberts	kyle.g.roberts@irs.gov
RI	Rhode Island	Paul	Borderi	paul.c.borderi@irs.gov
SC	South Carolina	Joan	Mizelle	joan.proctor@irs.gov
SD	South Dakota	Michelle	Benson	michelle.p.benson@irs.gov
TN	Tennessee	Glenda	Berry	glenda.berry@irs.gov
TX-N	Texas – North	Paul	Axelson	paul.a.axelson@irs.gov
TX-S	Texas – South	Elizabeth	Kuffel	elizabeth.kuffel@irs.gov
UT	Utah	Debra	Mardanlou	debra.mardanlou@irs.gov
VA	Virginia	Linda	Hawkins	linda.hawkins@irs.gov
VI	Virgin Islands	Kyle	Roberts	kyle.g.roberts@irs.gov
VT	Vermont	Paul	Borderi	paul.c.borderi@irs.gov
WA	Washington	Deborah	Diamond	deborah.a.diamond@irs.gov
WI	Wisconsin	Robert	Arango	robert.p.arango@irs.gov
WV	West Virginia	Rose	Russell	rose.russell@irs.gov
WY	Wyoming	Barbara	Haugh	barbara.a.haugh@irs.gov

APPENDIX C: FREQUENTLY ASKED QUESTIONS (FAQ)

What is Secure Data Transfer (SDT)? Secure Data Transfer (SDT) is a means used by IRS to exchange files electronically in a secure and automated environment over the Internet. SDT uses Tumbleweed's SecureTransport software for file transfers. This is a COTS product. Tumbleweed is the company name; SecureTransport is the product name. This is the only software approved by IRS for use with SDT.

Is SDT approved for exchange of files in both directions? No. SDT is currently approved only for delivery of outgoing IRS files to trading partners. SDT is not approved for incoming files. FedState agencies should continue to submit input files on magnetic tape cartridge, or by whatever means they have traditionally used, until further notice.

Is there a central repository of SDT information for FedState agencies? Yes, the SDT Trading Partner Handbook (TPH) contains all the information needed by FedState agencies. The first edition of the TPH will be available beginning in August 2008 from your local IRS Governmental Liaison; it will also be available on FTA's TaxExchange web site at www.taxexchange.org.

Does Tumbleweed SecureTransport software require a port to be opened in the trading partner firewall? Yes, SecureTransport does require outbound port 11443 to be open. IRS will be using Hyper Text Transfer Protocol (HTTPS) for the SecureTransport connection. The connection will be initiated on the trading partner end; the trading partner will be pulling data from the IRS server. IRS will not be pushing data through the trading partner firewall.

Will other outbound ports be used for SDT? No other ports need to be opened for IRS Secure Data Transfer (SDT). Unsolicited inbound traffic will not be allowed past the IRS firewall.

For what protocol(s) does Outbound Port 11443 need to be opened? Hyper Text Transfer Protocol (HTTPS).

What type and strength of encryption will be for SDT? The Tumbleweed SecureTransport product will use Secure Socket Layer (SSL) 3.0, 128 bit encryption.

How will the SDT file delivery process work? FedState agencies must download all files from the IRS Tumbleweed (TW) server. Agencies should access the TW server by going to sdt.irs.gov. Each *data file* will be accompanied by a *control file* that contains metadata about the *data file* including the record count. Whenever a file is placed on the Tumbleweed (TW) server, an e-mail will be sent to the agency notifying them that a file is available for download.

What is a control file? A *control file* is a separate file provided to FedState agencies with their data files (extracts). The *control file* contains metadata about the *data file* including the record count. The control file will be placed on the IRS Tumbleweed server with the data file, thus the agency is actually downloading two separate files.

What format will be used for files delivered via SDT? All files, both data files and control files, will be sent in ASCII format. Data files will be sent with a .txt extension following the dataset name while control files will be sent with a .cntl.txt extension following the dataset name. These extensions will identify the files as being in ASCII format, and will distinguish the control file from the data file. Certain data files will be made available in EBCDIC format if requested by the FedState agency.

Will states receive paper transmittal forms for data extracts? No, there will be no more paper transmittal forms. The information contained on the transmittal forms will now be provided in the *control file*. The *control file* is a separate file placed on the Tumbleweed server with the *data file*; thus, the trading partner is actually downloading two separate files for each extract they receive.

How will FedState agencies receive the information that used to be provided on tape headers and trailers? The information from the tape headers and trailers will now be provided in the *control file*. The *control file* is a separate file placed on the Tumbleweed server with the *data file*; thus, the trading partner is actually downloading two separate files for each extract they receive.

How will states and other trading partners know that there are files to be retrieved? An automated e-mail will be generated and sent to the FedState agency whenever a file is placed on the IRS Tumbleweed (TW) server and available for download. This process is referred to as *File Delivery Notification (FDN)*. The e-mail will be sent within 6 hours of the file being placed on the TW server. The notification will be sent to a group e-mail address provided by the FedState agency specifically for this purpose; the group e-mail is known as the *FDN Point of Contact (POC)*.

How will agencies verify that they have received all records in a file? Record counts will be provided as part of a control file that will be sent with the data file via SDT. The control file contains metadata about the data file including the record count.

Is Tumbleweed's SecureTransport capable of automating and scheduling the file download process? Yes, it is capable. In fact, IRS recommends that agencies automate the file download process and schedule it daily during off-peak hours. This will ensure receipt of all files once posted to the IRS Tumbleweed server.

How long will IRS files be available for the trading partner to download? Files will be available on the IRS Tumbleweed (TW) server for 10 days. After 10 days, the file will be removed from the TW server whether or not it has been downloaded by the FedState agency.

Will files be deleted after the client has downloaded the file, or will they be archived for a specific period of time to ensure the data was received correctly by the state? Files will be deleted from the IRS Tumbleweed server after the client has downloaded the file or after 10 days, whichever comes first. However, files will be archived for a period of time referred to as the File Recreation Period in order that the file might be retransmitted if necessary. The File Recreation Period is normally 60 days.

What is the cost of Tumbleweed's SecureTransport and will states be responsible for the cost? IRS will cover the cost and maintenance fee for Tumbleweed's SecureTransport including all upgrades, allowing states to maintain the current release. There should be no cost to states for the SecureTransport software.

How should states access the IRS Tumbleweed server? States should access the IRS Tumbleweed server by going to sdt.irs.gov.

Do states need IP addresses to access the IRS Tumbleweed server? No, states do not need an IP address to access the Tumbleweed (TW) server. States should access the TW server by going to sdt.irs.gov. In this way, states will continue to have access should the IRS IP address change. For this reason, IRS is not providing IP addresses to trading partners.

Can IRS provide trading partners with a dataflow diagram of the SecureTransport process? No. According to regulations, IRS may not disclose internal processes to persons outside the organization.

Will a password or certificate be used for user authentication? IRS is using ACES Business Representative digital certificates issued by Identrust, a third-party Certificate Authority, for user authentication. At least one person at each state agency must register for a digital certificate; IRS recommends having at least two certificate holders. Passwords are not being used for user authentication.

Are there costs associated with the Identrust digital certificate? Yes, each certificate costs \$119.00 and is good for 2 years. Costs are the responsibility of the FedState agency.

How many users will IRS allow to have access to the Tumbleweed server at each state agency? The agency may have as many users as they wish, however a separate digital certificate will be required for each user.

Where can I get detailed information on the Identrust digital certificate registration process? The Identrust document entitled *Understanding the Registration Process - ACES Business Representative Certificate*, provides step-by-step instructions to complete the Identrust registration process. The document is available at www.Indentrust.com. It may also be obtained from your local IRS Governmental Liaison.

Are there hardware costs associated with SecureTransport? An FTP server is needed; there are no other hardware costs.

Can IRS recommend an editor that can be used to view extract files in the Windows environment? IRS recommends WordPad to view extract files in the Windows environment.

Does the device that hosts SecureTransport on the state side need to have e-mail capability? No, the device need not have e-mail capability. Each state using SDT is asked to provide IRS with a group e-mail address for receipt of automated File Delivery Notification (FDN) e-mails, but that e-mail account need not be on the same system as the SecureTransport client. The FDN e-mails are sent to the state whenever a file is placed on the IRS Tumbleweed server to be downloaded.

What operating systems are supported by Tumbleweed's SecureTransport? The following Operating Systems are supported:

- Windows 2000 Professional/Server SP4,
- Windows XP Professional SP2, Windows 2003 SP1/R2
- Solaris: Solaris 8, Solaris 9
- AIX: AIX 5.2, AIX 5.3
- HP-UX: HP-UX B.11.00
- Linux: RedHat Linux Enterprise Edition 3.0

Can trading partners contact Tumbleweed directly for support? Yes, Tumbleweed contact information for support is as follows:

- Global Support Helpline: 650-216-2109
- Global Support Online: <http://www.tumbleweed.com/support/>
- Global Support e-mail: support@tumbleweed.com
- Customer Service, License Keys and Shipping Orders: cust.services@tumbleweed.com

Can a trading partner contact Identrust directly for support? Yes, the contact information is as follows:

- Identrust Tech Support: 1-888-248-4447
- Identrust Customer Support: www.identrust.com
- Identrust Web Site IRS Page: <http://www.identrust.com/irs/sdt/>.

What are the safeguard and security requirements for IRS data received via SDT?

Safeguard requirements and security controls for IRS data have not changed as a result of files being transmitted via SDT. They are the same as they were when data was being provided on magnetic tape cartridges. Safeguard requirements and security controls may be found in IRS Publication 1075, *Tax Information Security Guidelines for Federal, State and Local Agencies and Entities* (rev 10/2007). This publication is available at www.irs.gov, or from your local IRS Governmental Liaison.

Will the trading partner be required to revise their Safeguard Procedures Report (SPR) to exchange data with IRS via Secure Data Transfer (SDT)? No, the trading partner is not required to revise their SPR; however an approved SPR is needed to exchange data.

SDT TRADING PARTNER HANDBOOK FOR FedState Agencies

Where should states store files that have been downloaded from IRS using SDT?

This is a trading partner decision; IRS files must be stored in accordance with Safeguard regulations. These regulations may be found in IRS Publication 1075, *Tax Information Security Guidelines for Federal, State and Local Agencies and Entities* (rev 10/2007). This publication is available at www.irs.gov, or from your local IRS Governmental Liaison.

Where do I send questions about Secure Data Transfer (SDT)?

FedState agencies should use the following three points of contact:

- SDT Help Desk (sdthelp@irs.gov): for technical questions & SDT account issues such as questions on a file name, problems with file transmission, or a change to your SDT account information.
- Enterprise Help Desk (866-743-5748): for requests for file retransmission, format change, or reporting a PII Breach.
- Local IRS Governmental Liaison (GL): for questions about extract content, safeguard issues, and all other questions not included in the first two categories above. When in doubt about which contact to use, FedState agencies should always contact their local GL.