

Submission of Reports

2018

Overview

- Generic Submission Utility
- Preparation of Secure Statement Package
- Upload on Reporting Portal
- Upload through Submission Utility
- View Submission Details

Submission Utility

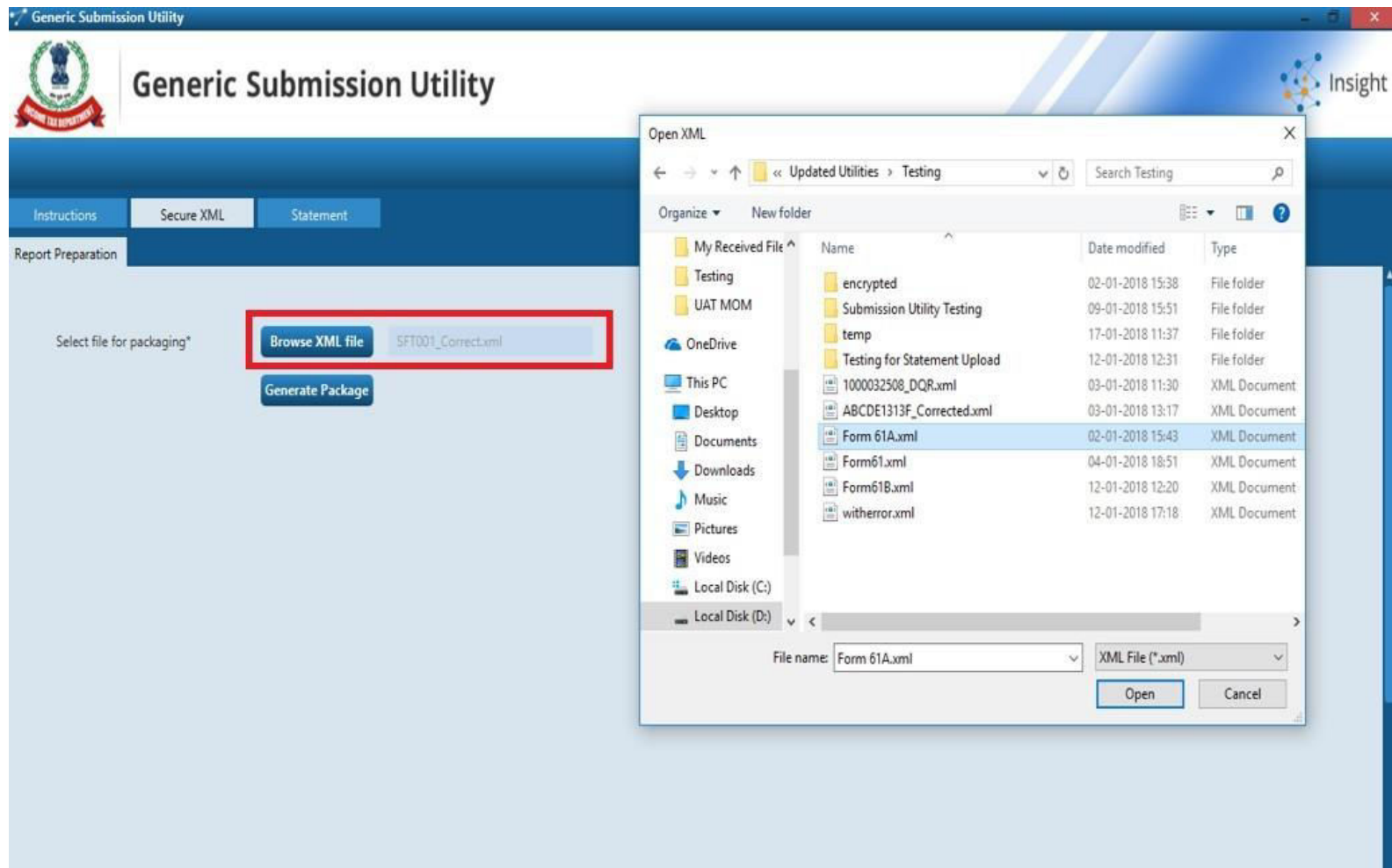
Submission Utility

- Generic Submission Utility enables user to digitally sign the statements and generate the secure statement package.
- Key features
 - Sign the XML
 - Generate Secure Statement Package
 - Upload Secure Statement Package
 - View Uploaded Statements
 - Download DQR

The Submission Utility is available under “Resources” section of Reporting Portal.

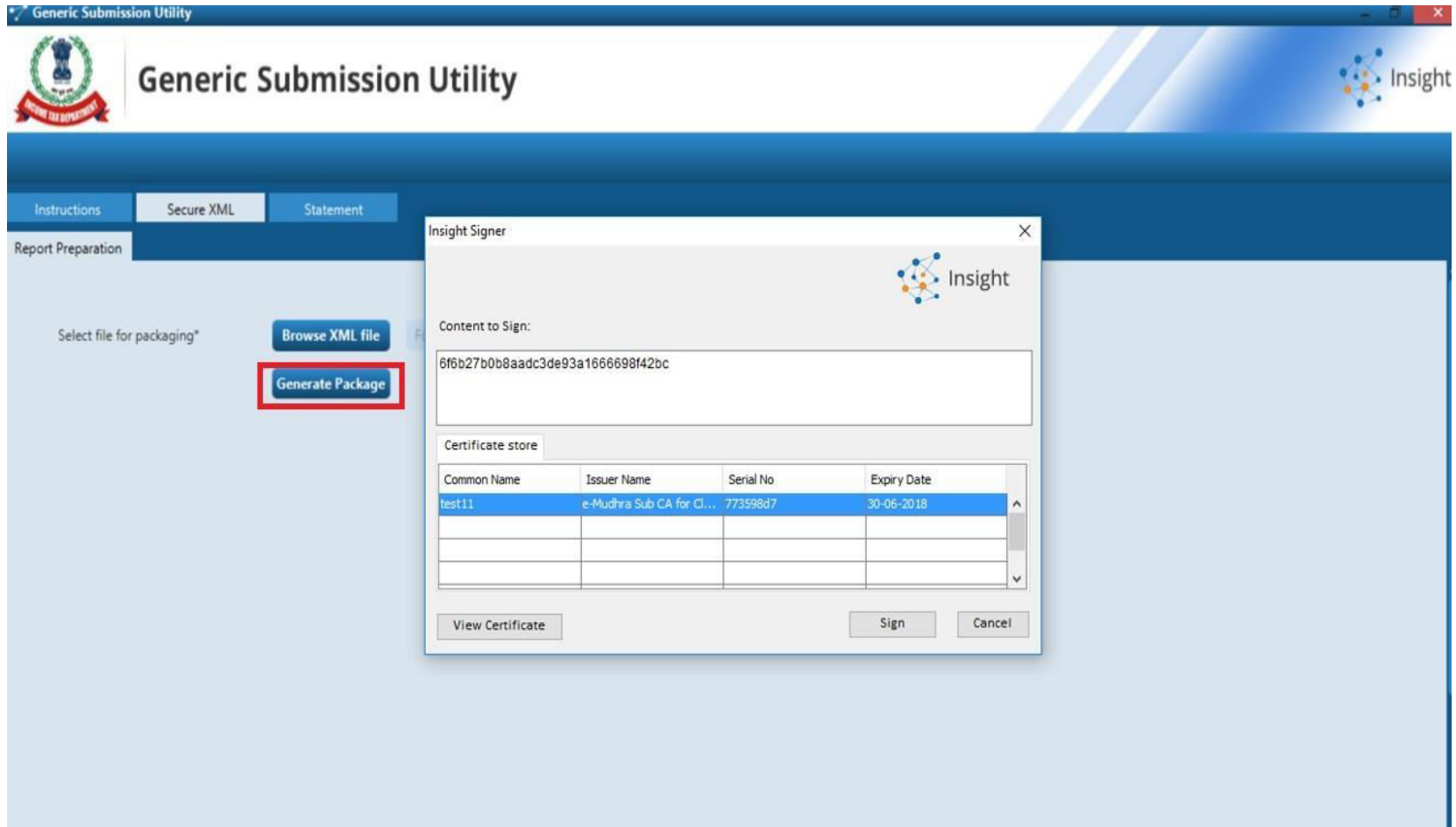
Preparation of Secure Statement Package

Select XML



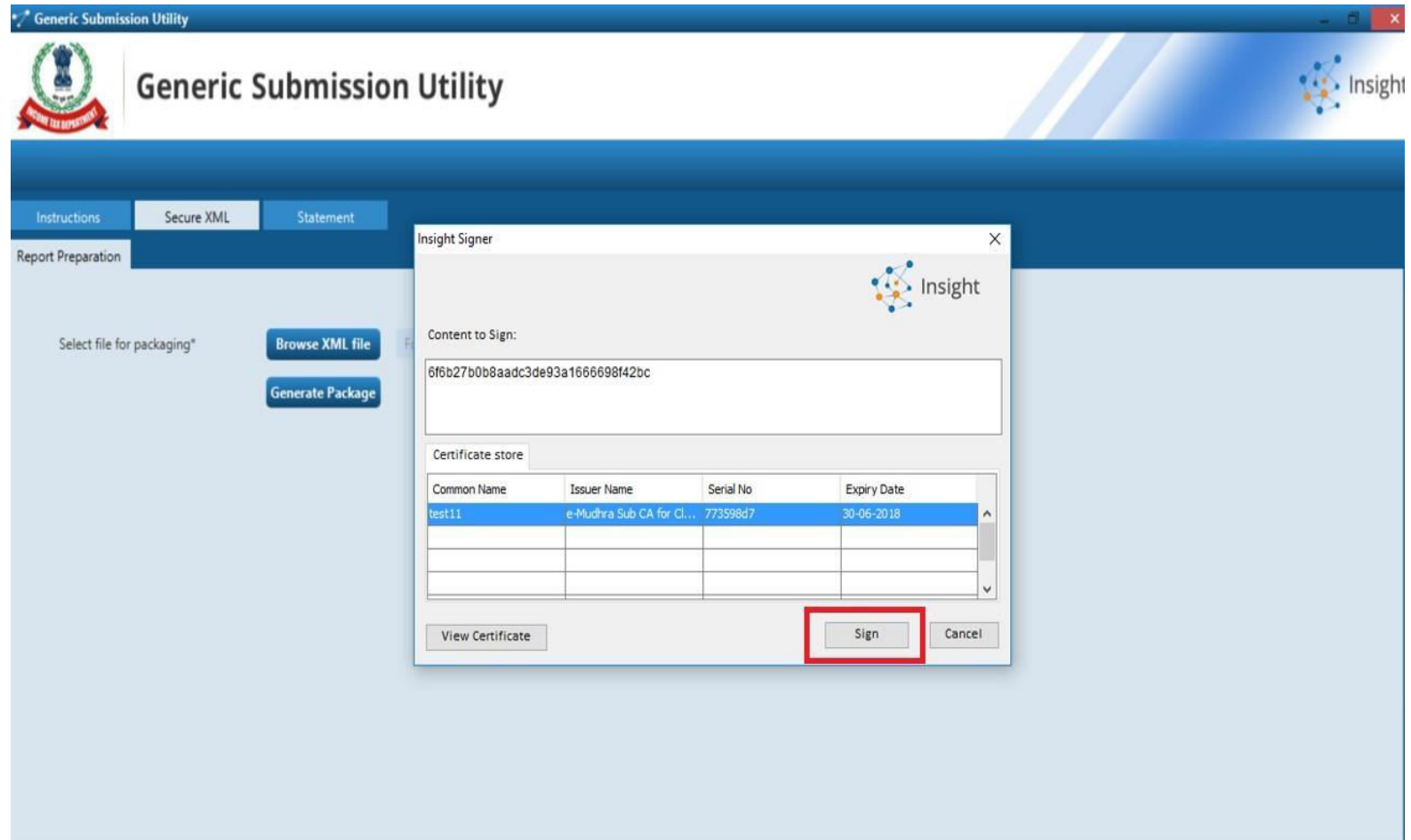
- Select statement XML prepared through report generation utility
- XML file should be with “.xml” extension

Select Digital Certificate



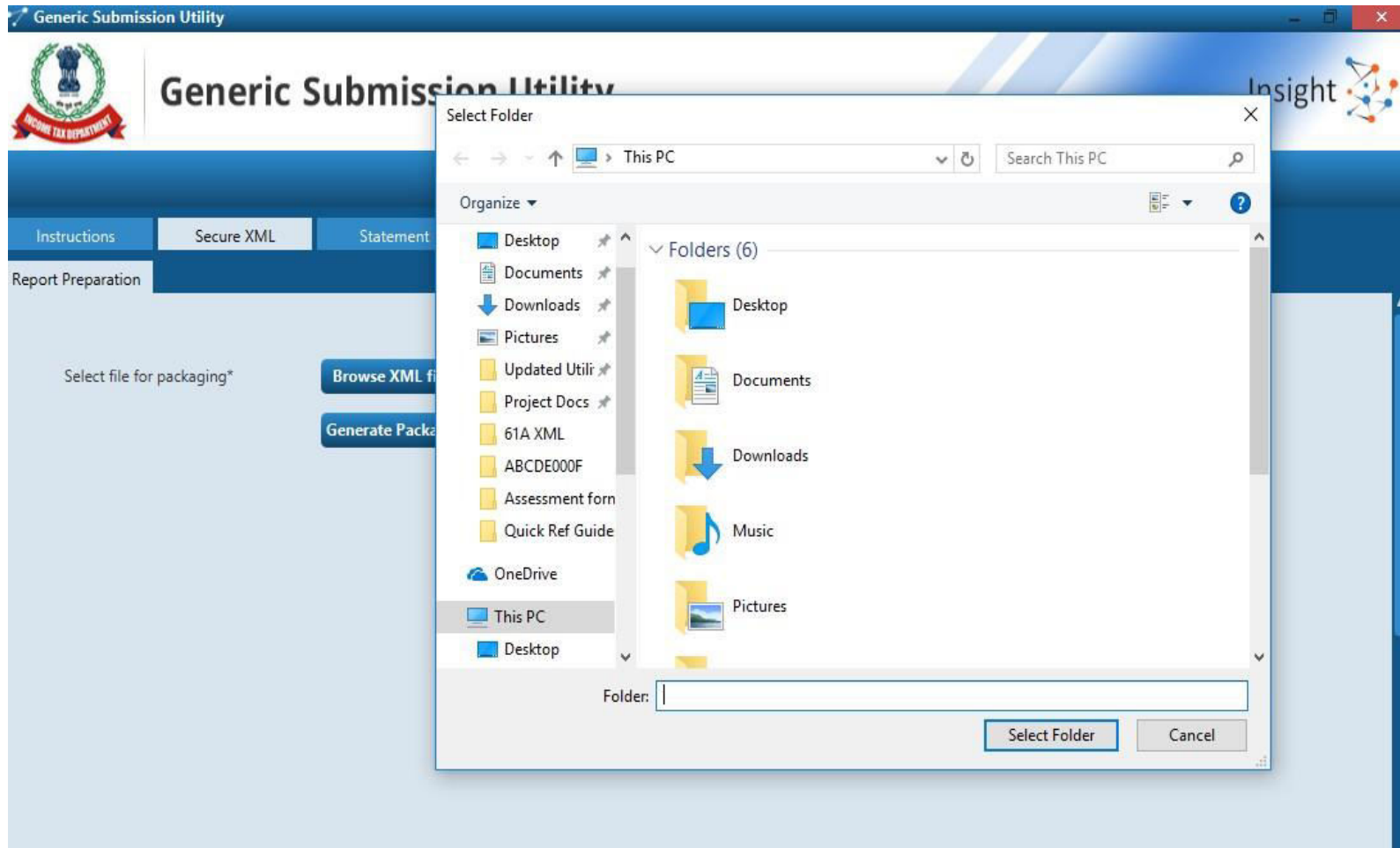
- Select relevant digital certificate to sign the statement
- DSC should be connected to the system through USB while generating package

Sign the Statement







- DSC of Class II or III, issued by CCA approved certifying agencies in India, should be used

Save Statement Package



- Digitally signed Statement shall be saved with “.tar.gz” extension

Contents of Secure Statement Package

	FORM61A_CCCZZ0990A.AB129__Key Type: AB129__KEY File	Date modified: 02-02-2018 11:46 Size: 61 bytes → 61 bytes
	FORM61A_CCCZZ0990A.AB129__Payload Type: AB129__PAYLOAD File	Date modified: 02-02-2018 11:46 Size: 1.51 KB → 1.51 KB
	FORM61A_CCCZZ0990A.AB129__Signature Type: AB129__SIGNATURE File	Date modified: 02-02-2018 11:46 Size: 2.76 KB → 2.76 KB
	FORM61A_CCCZZ0990A.AB129__Manifest Type: AB129__MANIFEST File	Date modified: 02-02-2018 11:45 Size: 156 bytes → 156 bytes

- Manifest
- Signature
- Encrypted key
- Encrypted XML

Statement Upload Methods

- Two Methods for Uploading Statement Package
 - Reporting Portal
 - through Submission Utility
- Designated director of reporting entity can upload the statement
 - Ensure that valid digital signature is registered with Income Tax Department on reporting portal

Statement Upload on Reporting Portal

Upload on Reporting Portal

Home Profile **Statements** Compliance Requests Messages Resources Forum Help Feedback

Welcome Test SRO

Home > Statements > Statement Upload

Statements

Statement Upload

Uploaded Statements

Upload Statement	
Reporting Entity PAN/TAN	ABCD00009F
Reporting Entity Category	Others
Form Name	FORM 61A
Financial Year/Reporting Period	2017-2018
SFT Code*	001 - Purchase of bank drafts or pay orders in c
Filing Type*	Original
Statement(.zip/.tar.gz)*	<input type="button" value="Browse..."/> No file selected.
<input type="button" value="Upload"/>	

- Fill the upload form on reporting portal
- In case of correction statement, additional field “Original Statement Id” will also appear

Manifest Validation

The screenshot shows the 'Reporting Portal' interface. At the top, there is a header with the Income Tax Department logo, the text 'Reporting Portal', and the 'Insight' logo. Below this is a navigation bar with links: Home, Profile, Statements (active), Compliance, Requests, Messages, Resources, Forum, Help, and Feedback. A welcome message 'Welcome Test Name' and a 'Logout' link are on the right. The main content area has a breadcrumb trail: Home > Statements > Statement Upload. On the left, there is a sidebar with 'Statements' (active), 'Statement Upload', and 'Uploaded Statements'. The main area contains a list of error messages in a red box: 40003-Please re-upload the file with correct Reporting Period, 40004-Please re-upload the file with correct statement type, 40006-Incorrect value in Number of Reports, 40007-Incorrect SFT Code mentioned, and 50004-Invalid digital signature. Below this is the 'Upload Statement' form with fields for Reporting Entity PAN/TAN, Reporting Entity Category, Form Name, Financial Year/Reporting Period, SFT Code*, Filing Type*, and Statement(.zip/.tar.gz)*. The 'Upload' button is at the bottom.

Reporting Portal

Home Profile Statements Compliance Requests Messages Resources Forum Help Feedback

Welcome Test Name Logout

Statements Statement Upload

Statements

Statement Upload

Uploaded Statements

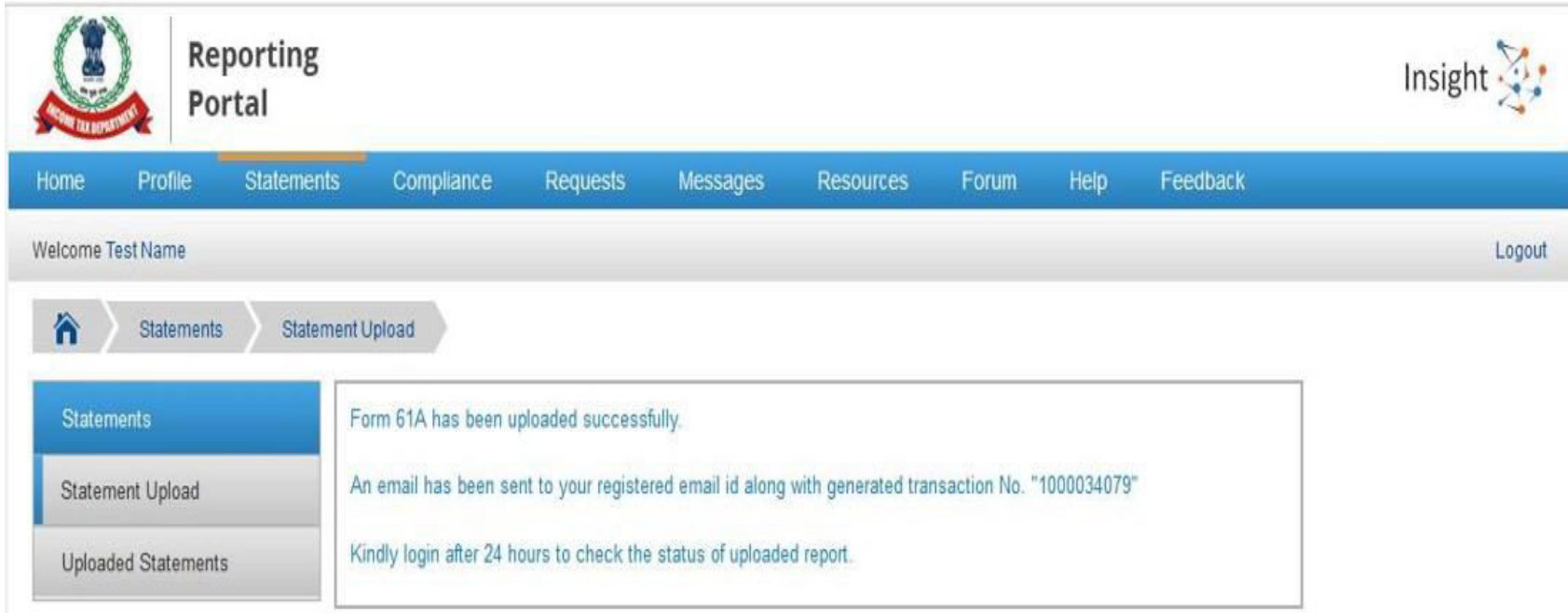
40003-Please re-upload the file with correct Reporting Period.
40004-Please re-upload the file with correct statement type.
40006-Incorrect value in Number of Reports. Number of reports should be more than 0 in case statement type is NB/ 0 in case statement type is ND.
40007-Incorrect SFT Code mentioned. Please provide correct SFT Code.
50004-Invalid digital signature.

Upload Statement

Reporting Entity PAN/TAN	ABCDE8989F
Reporting Entity Category	Banking Company
Form Name	FORM 61A
Financial Year/Reporting Period	2015-2016
SFT Code*	005 - Time deposit.
Filing Type*	Nil
Statement(.zip/.tar.gz)*	<input type="button" value="Browse..."/> witherrorxmlnew.tar.gz

- Form details should match with statement details (Part A)
- Errors appearing in manifest check have to be rectified

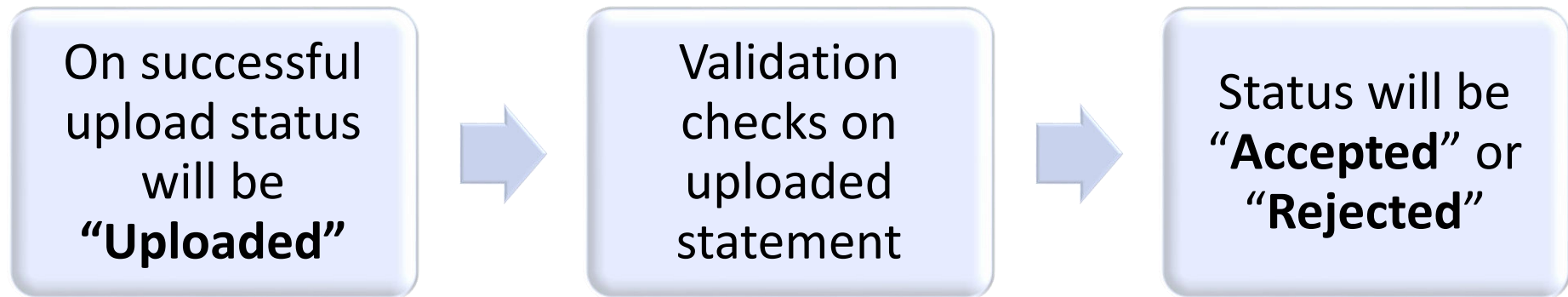
Acknowledgement of Successful Upload



The screenshot displays the 'Reporting Portal' interface. At the top left is the Income Tax Department logo. The header includes the text 'Reporting Portal' and the 'Insight' logo. A navigation bar contains links: Home, Profile, Statements (active), Compliance, Requests, Messages, Resources, Forum, Help, and Feedback. Below the navigation bar, a welcome message 'Welcome Test Name' is shown on the left, and a 'Logout' link is on the right. The main content area features a breadcrumb trail: Home > Statements > Statement Upload. On the left side of the main area, there is a sidebar with three buttons: 'Statements' (highlighted in blue), 'Statement Upload', and 'Uploaded Statements'. The central area displays a confirmation message: 'Form 61A has been uploaded successfully.' followed by 'An email has been sent to your registered email id along with generated transaction No. "1000034079"' and 'Kindly login after 24 hours to check the status of uploaded report.'

- On successful upload, acknowledgement message will be displayed
- Email will be sent to registered id along with transaction number
- Upon successful validation (schema & file level checks) unique statement id will be generated

Status of Submitted Statement



Statement Upload through Submission Utility

Upload Statement through Submission Utility

The screenshot shows the 'Generic Submission Utility' web application. The header includes the Income Tax Department logo and the 'Insight' logo. Below the header, there are tabs for 'Instructions', 'Secure XML', and 'Statement'. Under the 'Statement' tab, there are sub-tabs for 'Statement Upload', 'Uploaded Statement', and 'Download DQR'. The 'Statement Upload' sub-tab is active, displaying a form with the following fields and controls:

- User(Authorized)*: Text input field
- Password*: Text input field
- Form Selection: Three radio buttons labeled 61, 61A, and 61B. The 61 button is selected.
- Form Name: Text input field containing '61'
- ITDREIN*: Text input field
- SFT Code*: Dropdown menu with '--Select--'
- Reporting Period Ending On*: Two dropdown menus, the first with '--Selec...', the second with '2016'
- Type of Filing*: Dropdown menu with '--Select--'
- Original statement Id* (In case "correction" being filed): Text input field
- Attach the report: A 'Browse' button and a text input field
- Buttons: 'Validate' and 'Upload' buttons at the bottom of the form.

- Designated director should enter login credentials & fill the upload form
- **Validate** to display manifest errors
- **Upload** if no manifest error is displayed
- On successful upload, acknowledgement message will be displayed.
- Email will be sent to registered id along with transaction number.

Generic Submission Utility



Instructions	Secure XML	Statement
Statement Upload	Uploaded Statement	Download DQR

User(Authorized)*	ABCDE0009F
Password*	●●●●●●●●

Form Type*	Form 61A
SFT Code (Only enable if 61A selected)	001
Reporting Period ending on *	--Select-- 2016

Search

OR

Form Type* Form 61A

Enter Transaction Id*

Enter Transaction Id

Search

[illegible]

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Next

- Rectification of Reports

Rectification of Reports

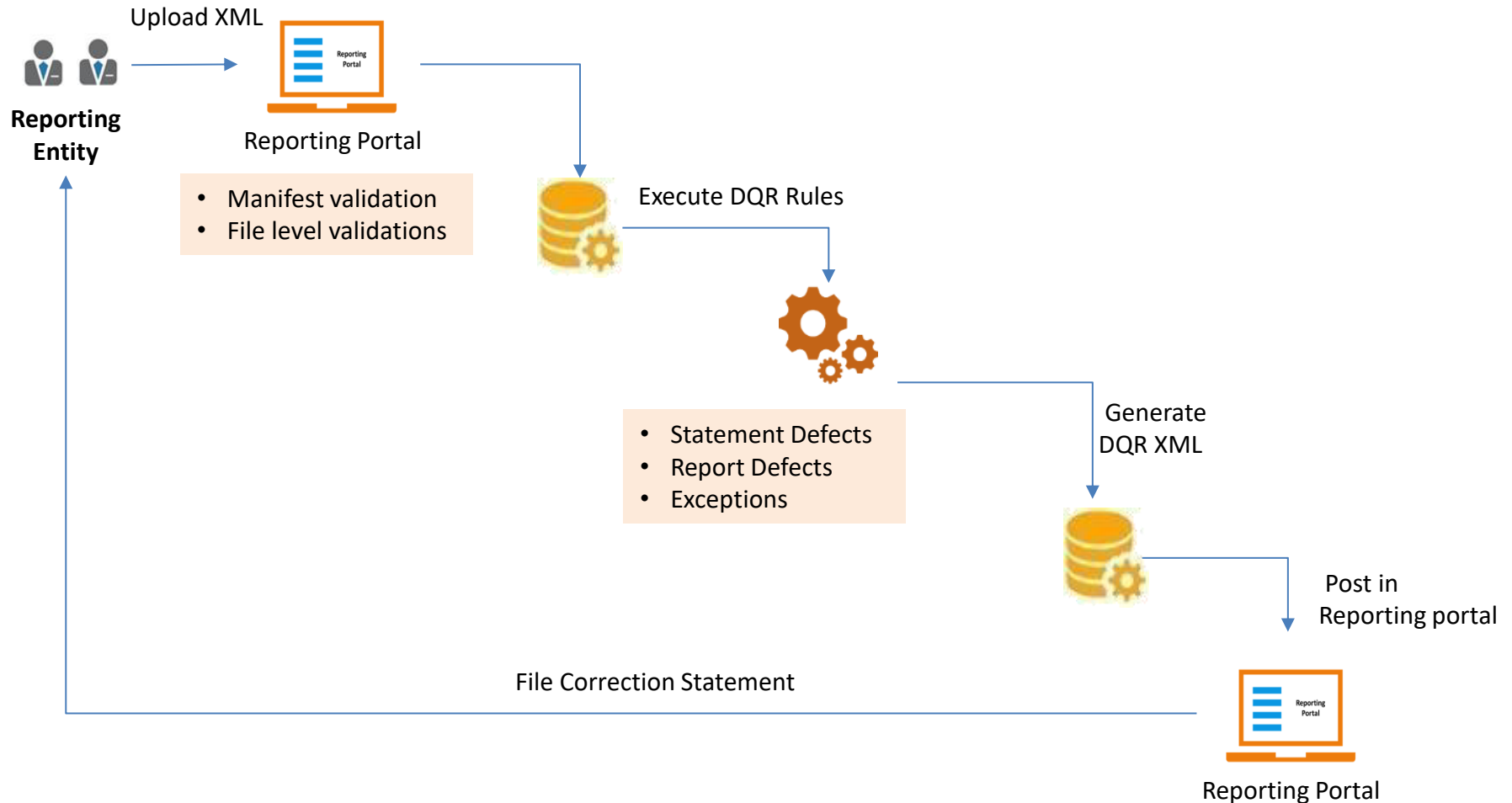
2018

Overview

- Data Quality Management
- Download Data Quality Report
- Rectification of Reports
- RRC (Report Requiring Correction)

Data Quality Management

Data Quality Management



Defects & Exceptions

- **Defects**

- Defects are those which render the record(s)/ statement invalid
- The reporting entity would be required to file the correction statement to rectify the defect

- **Exceptions**

- Exceptions are those which would not result in the statement/report being rejected
- These only affect the quality of the data.
- However reporting entity should endeavour to rectify the exceptions

Manifest Level Defects

- Failed ITDREIN (40001)
- Failed Form Name (40002)
- Failed Reporting Period (40003)
- Failed Statement Type (40004)
- Failed Original Statement ID (40005)
- Failed Number of Reports (40006)
- Failed SFT Code (40007)
- Failed Reason for correction (40009)

File Level Defects

- Failed Decryption (50002)
- Failed Decompression (50003)
- Failed Signature Check (50004)
- Failed Threat Scan (50005)
- Failed Virus Scan (50006)
- Failed Schema Validation (50007)
- Failed Signature Upload (50008)
- Signature Expired (50009)

Record level Defects

1. Failed Number of Reports for Statement type NB/ND (61A_60040)
2. Failed Original Report Serial Number in CB (61A_60031)
3. Failed Original Report Serial Number in NB (61A_60039)
4. Failed Account Number (61A_60034)
5. Failed Cash deposit addition value (61A_60033)
6. Failed PAN (61A_60047)
7. Failed Report type (61A_60042)
8. Failed Father's Name (61A_60046)*
9. Failed Form 60 Acknowledgment Number (61A_60049)*
10. Failed Identification Type (61A_60050)*
11. Failed Identification Number(61A_60051)*
12. Failed DOB/DOI (61A_60052)*
13. Failed Birth Date (61A_60014)

* if PAN is not provided

Data Quality Report (DQR) and Reports Requiring Correction (RRC)

- **Data Quality Report (DQR)**
 - Contains details of the data quality errors present in the statement submitted by the Reporting Entity.
 - Helps Reporting Entity(s) in identifying the errors in data submitted.
- **Reports Requiring Correction (RRC)**
 - Number of original reports in the statement where defects have not been corrected

Download Data Quality Report

Download Data Quality Report on Reporting Portal

Home Profile Statements Compliance Requests Messages Resources Forum Help Feedback

Welcome Test Name Logout

Home > Statements > Uploaded Statements

Statements

Statement Upload

Uploaded Statements

Form Type* FORM 61A Year* 2017-2018 SFT Code Select SFT OR Transaction No.* Search

Uploaded Statement

Statements Pending for correction Uploaded Statements

S.No	Transaction No.	Statement ID	Submission Date	Submission Type	Reports in Statement	RRC**	Exceptions	DQR*
1	1000035346	753867070184186	22-01-2018	Original	1	1	0	Download

Page 1 of 1 10 View 1 - 1 of 0

** RRC - Reports Requiring Correction
* DQR - Data Quality Report

- DQR will be in XML format

Download Data Quality Report through Submission Utility

The screenshot displays the 'Generic Submission Utility' web application interface. At the top, there is a header with the Income Tax Department logo, the title 'Generic Submission Utility', and an 'Insight' logo. Below the header, a navigation bar contains tabs for 'Instructions', 'Secure XML', and 'Statement'. Under the 'Statement' tab, there are sub-tabs for 'Statement Upload', 'Uploaded Statement', and 'Download DQR'. The main content area on the left contains a form with the following fields: 'User(Authorized)*' with the value 'AXPPN7441H', 'Password*' with masked characters, and 'Statement Id*' with the value '304052670401218'. A 'Download DQR' button is positioned below the 'Statement Id' field. On the right side, a file explorer window titled 'XML file' is open, showing the user's file system. The 'File name' field is set to '1000039480_DQR' and the 'Save as type' is 'XML File (*.xml)'. The 'Save' button is highlighted.

Generic Submission Utility

Income Tax Department

Generic Submission Utility

Insight

Instructions Secure XML Statement

Statement Upload Uploaded Statement Download DQR

User(Authorized)* AXPPN7441H

Password*

Statement Id* 304052670401218

Download DQR

XML file

Reshmi Nadar

Organize New folder

Quick access

Desktop Downloads Documents Pictures DQR files landing area file: Packages try

.config .eclipse .IdealC2016 .m2 .oracle_jre_usage .p2 .XPIore Contacts Desktop Documents Downloads Favorites Links Music OneDrive OneDrive - ITI Pictures Saved Games

File name: 1000039480_DQR

Save as type: XML File (*.xml)

Hide Folders Save Cancel

- User need to provide 15 digit statement Id to download corresponding DQR.

Rectification of Reports


Import DQR & Original Statement in Report Generation Utility


The screenshot displays the 'Report Generation & Validation Utility | Form 61A' application. The main window has a blue header with the title 'Report Generation Utility' and 'Statement of Financial Transactions (Form 61A)'. Below the header is a navigation bar with buttons: 'Open', 'Save', 'Validate', 'Generate XML', and 'View DQR' (highlighted with a red box). The main content area has tabs for 'Instructions', 'Statement (Part A)', and 'Validation Errors'. The 'Instructions' tab is active, showing a list of instructions. A 'Continue' button is visible. On the right, there is a 'Validation Error Details' panel with expandable sections for 'Mandatory Errors', 'Defects', and 'Exceptions'. An 'Import DQR Window' dialog is open in the foreground, featuring two input fields: 'Import DQR Reports' and 'Import Statements', each with a 'Browse' button. At the bottom of the dialog are 'OK' and 'Cancel' buttons.

- Import data quality report and original statement which is to be corrected in report generation utility
- Statement number mentioned in DQR should match with statement number of original statement (which is being corrected)

View the Errors

Report Generation & Validation Utility | Form 61A

 **Report Generation Utility**
Statement of Financial Transactions (Form 61A)

Insight 

Open Save Validate Generate XML View DQR

Instructions Statement (Part A) Report Details (Part B) Financial Transactions (Part B) Validation Errors

Report Serial No	Total Error Count	Mandatory Errors Count	Defects Count	Exceptions Count
6	8	1	3	4
7	8	1	3	4
8	8	1	3	4
9	8	1	3	4
10	8	1	3	4
11	8	1	3	4
12	8	1	3	4
13	8	1	3	4
14	8	1	3	4
15	8	1	3	4
16	8	1	3	4
17	8	1	3	4

Validation Error Details

▼ Mandatory Errors

Report Serial Number : 6

Provide valid Address


> Defects


> Exceptions

Errors from each report will be highlighted in the **Validation Error Details** sidebar.

Select Error to be Corrected

Report Generation & Validation Utility | Form 61A

 **Report Generation Utility**
Statement of Financial Transactions (Form 61A)

Insight 

Open Save Validate Generate XML View DQR

Instructions Statement (Part A) **Report Details (Part B)** Financial Transactions (Part B) Validation Errors

Person Name *	Mayank arora	Person Type *	HF - HUF
Customer Identity	customer	Gender *	Male
Father's Name	raaj	Aadhaar Number	789456123012
PAN		Form 60 Acknowledgement Number	
Identification Type	B - Election Id Card	Identification Number	789456123015
Date of Birth/ Incorporation	dd-MM-yyyy	Nationality/Country of Incorporation	XX - OTHER
Business or occupation	Business	Primary Telephone Number	22 24326630
Primary Mobile Number	98236497210	Secondary Telephone Number	23 24367905
Secondary Mobile Number	98745632100	Email	nani@gmail.com
Remarks	No remarks		
Product Type	SB- Shares bought back	Aggregate gross amount received from the person	100000
Aggregate gross amount received from the person in cash	20000	Aggregate gross amount paid to the person	50000
Remarks	No remarks		
Address Details *	Add Address Details		

Save Cancel

Validation Error Details

- > Mandatory Errors
- ✓ Defects

Report Serial Number : 1

Provide correct PAN or Form 60 Acknowledgement number

> Exceptions

Select the validation error to be rectified and make required changes.

Rectify the Errors

[illegible]

- Save the changes.

Generate Correction Statement

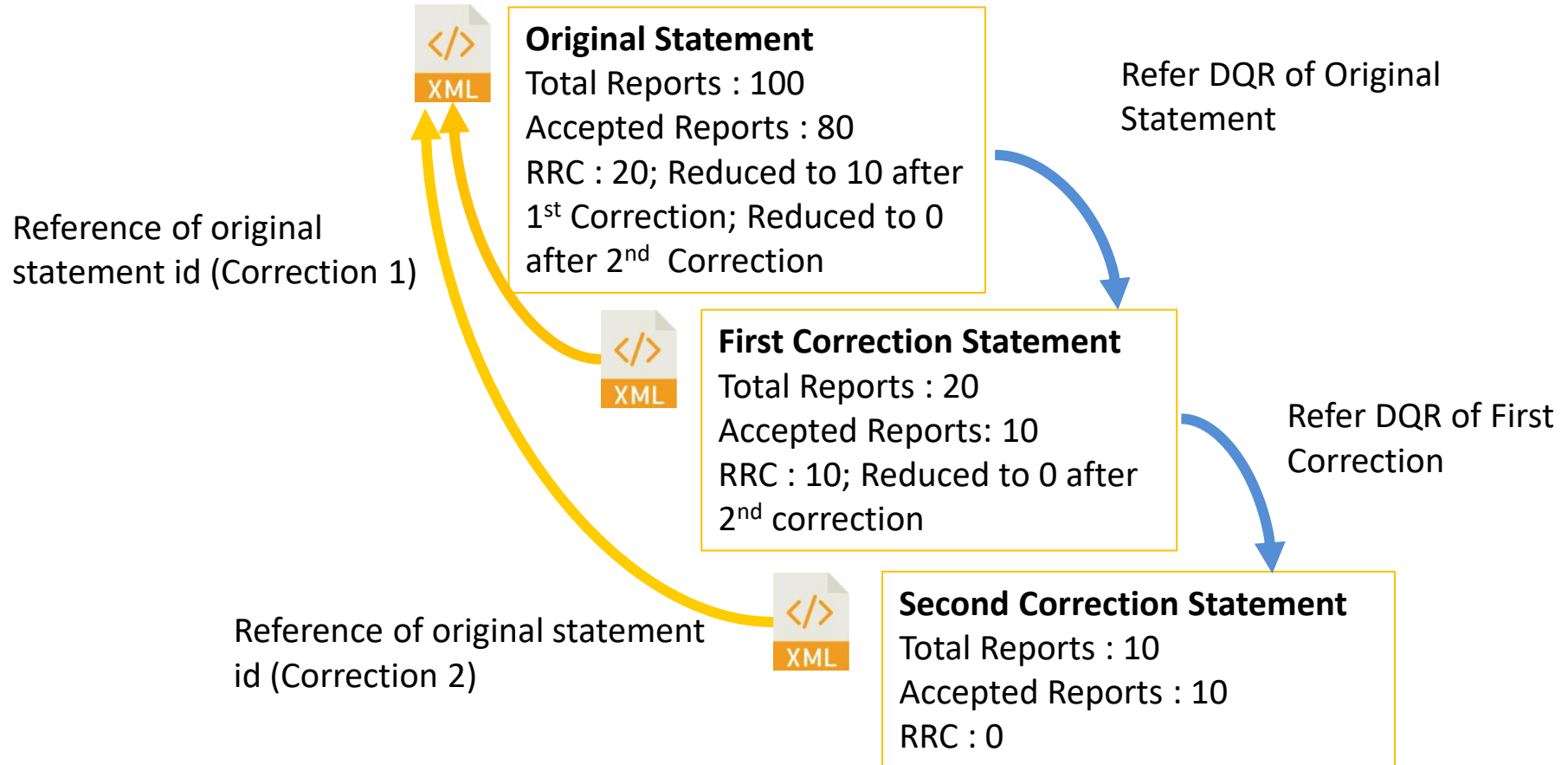
- Update “Part A” by selecting Statement Type as “CB - Correction statement containing correction for previously submitted information”.
- Mention the statement ID of the original Statement which is being corrected in the “Original Statement ID” field.
- Generate correction XML
- Submit correction statement on reporting portal

Reports Requiring Correction (RRC)

Report Requiring Correction (RRC)

- Report requiring correction (RRC) field will display the number of reports which are yet to be rectified in original statement.
- RRC field and count can be viewed under “Statements Pending for Correction” tab on reporting portal.
- Reporting entity need to ensure to reduce RRC (Report Requiring Correction) count to zero by rectifying all the defective reports.

Correction Logic to Reduce RRC (Report Requiring Correction) Count



- “Original Statement Id” field of each correction statement should always refer to statement id of original statement.
- Data Quality Report (DQR) generated on last filed statement (original or correction) should be referred
- **Please refer annexure for use case of “Correction logic to reduce RRC count”.**

Thank You!!