Indiana Department of Revenue

Bulk File XML Converter Guide

June 2015

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Introduction

As of July 1, 2014, any person who is responsible for the payment of excise taxes for alcohol (ALC), cigarette (CIG), or other tobacco products (OTP) must file returns electronically with the Indiana Department of Revenue (DOR). The standard method of electronic filing is through bulk upload. The file format is an extensible markup language (XML) file.

The XML schema structures, definitions, and sample files are available on the respective electronic filing websites for ALC, CIG, and OTP. The website addresses are listed in the Important Reminders section.

In addition, the DOR has created a Bulk File XML Converter, which is a Microsoft Excel conversion tool that allows taxpayers to enter their return and schedule information into a workbook template and export the template to an XML file. The tool is an ideal alternative solution for taxpayers with fewer than 50 transactions per month and is available on the electronic filing websites.

The converter tool is available for the following returns:

Alcohol

- ALC-DWS
- ALC-FW
- ALC-M
- ALC-PS
- ALC-W

Cigarette

- CIG-M
- CIG-PT
- CIG-TS
- CT-19

Other Tobacco Product

- OTP-M
- OTP-PACT
- CT-19

This user guide is designed to assist you with the Bulk File XML Converter. It assumes you have already reviewed the Indiana Bulk Upload Guide. When using the converter you are still required to follow the detailed instructions in the Indiana Bulk Upload Guide.

Important Reminders

As you start using the Bulk File XML Converter, please remember the following:

1. The instructions and images in this User Guide are written for Microsoft Excel 2007.
2. The converter tool is compatible with Microsoft Excel 2003 and later.
3. The converter tool cannot be used when there are more than 60,000 rows of data to report on any tab within the spreadsheet. If you have more than 60,000 rows of data to report, please contact the department at (317) 615-2528 or incigtax@dor.in.gov.
4. The converter tool must be downloaded each month before you prepare your monthly XML submission file. This ensures you use the most current version. If you do not use the correct converter version your XML files will be rejected. You can download the tool from the electronic filing websites below:
    - ALC: www.in.gov/dor/5162.htm
    - CIG: www.in.gov/dor/5173.htm
    - OTP: www.in.gov/dor/5168.htm
5. The DOR recommends you save a copy of the spreadsheet and generated XML file each month after you complete the spreadsheet and create the XML output using the converter tool. This ensures you have an exact copy of what you submitted and allows you to reference files from prior filing periods, if questions arise in the future.
6. As you prepare your return and schedule data for the converter tool, you must use the following format rules:
    - All date fields must be entered as YYYY-MM-DD (e.g., 2014-10-01).
    - The following special characters are not allowed in any field: less than (<) greater than (>) quote (") ampersand (&) apostrophe (').
    - Special characters are not allowed in business name fields.
    - In general, no fields may include special formatting, such as phone number fields, 9 digit zip codes, and ID fields.
    - The Transmission ID must be unique for each file submission. The file will be rejected if the Transmission ID is not unique.
7. All shaded, light blue cells in the converter tool are data entry fields.
8. Specific instructions are included for some cells. For detailed instructions regarding every field in the XML file, please refer to the XML schema definition document for each specific return type on the electronic filing websites.
9. Even if you use the converter to generate your XML file you still must complete the bulk upload registration, testing and certification process as defined in the Indiana Bulk Upload Guide.

Getting Started

Enabling the Developer Menu Option

Before you can work with the converter, you must ensure the “Developer” menu option is enabled in Microsoft Excel.

Step 1: Open Microsoft Excel and examine the menu bar. If you already have the “Developer” menu option enabled, you can skip steps two through five in this section. Image 1 shows a menu bar without the “Developer” option.

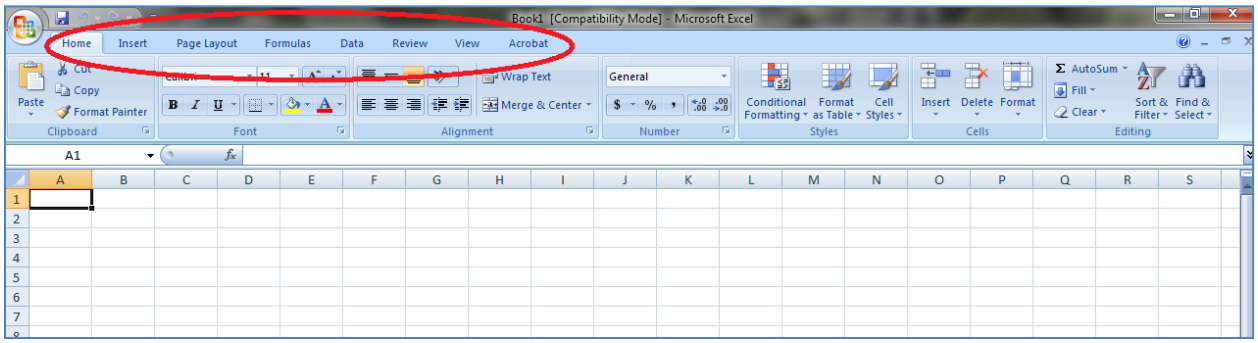


Image 1 – Excel Menu without Developer

Step 2: To add “Developer”, click the Office Button in the upper left corner of Microsoft Excel.

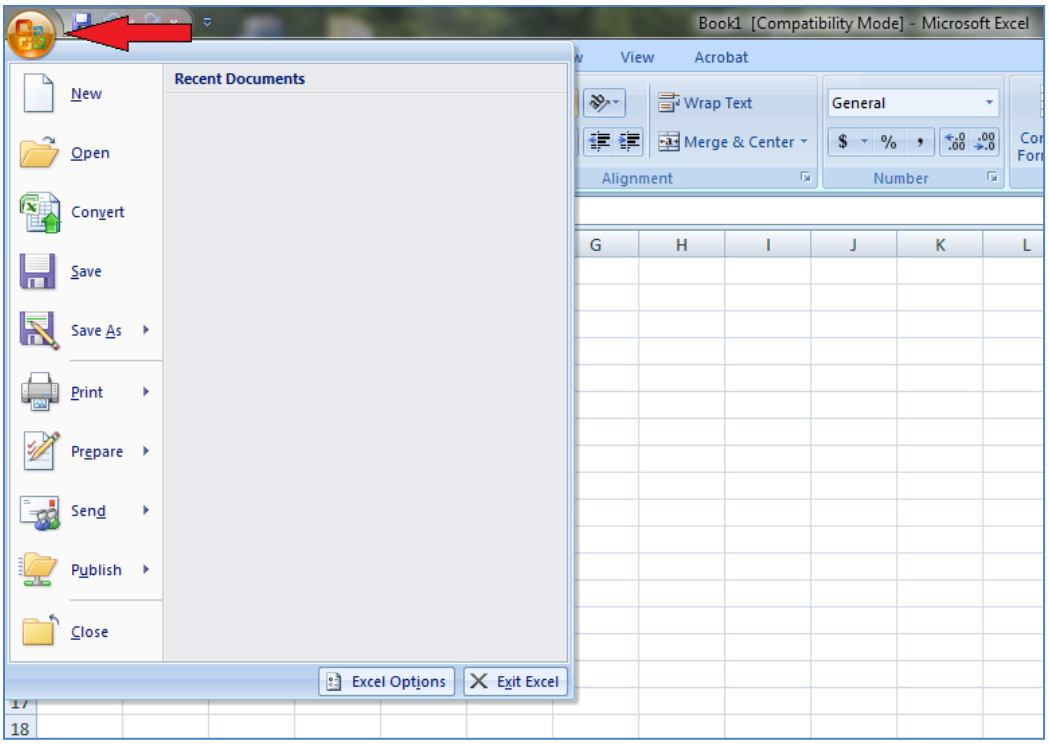


Image 2 – Office Button Selected

Step 3: Click the “Excel Options” button.

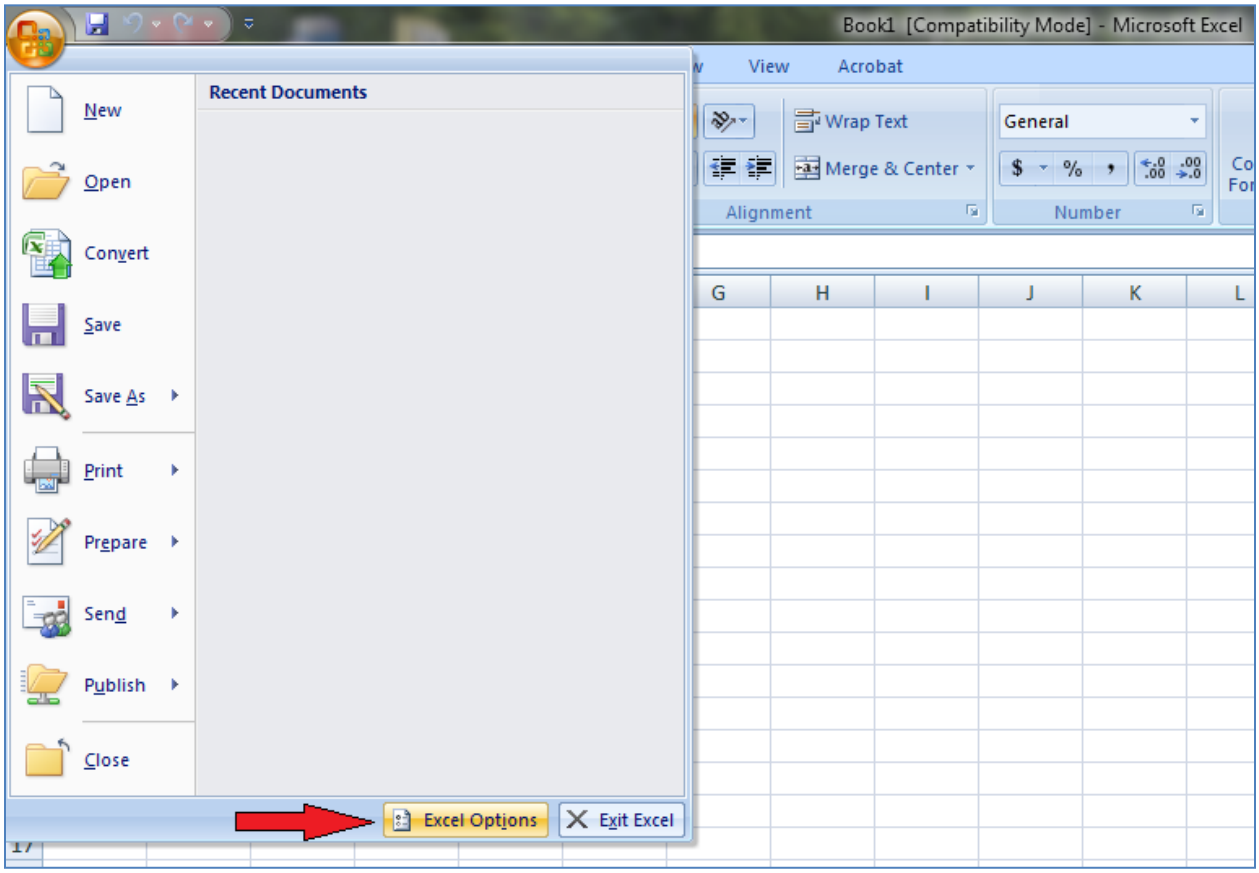


Image 3 – Excel Options Button

Step 4: On the "Excel Options" screen under "Popular" options, select the "Show Developer tab in the Ribbon" check-box. Click OK.

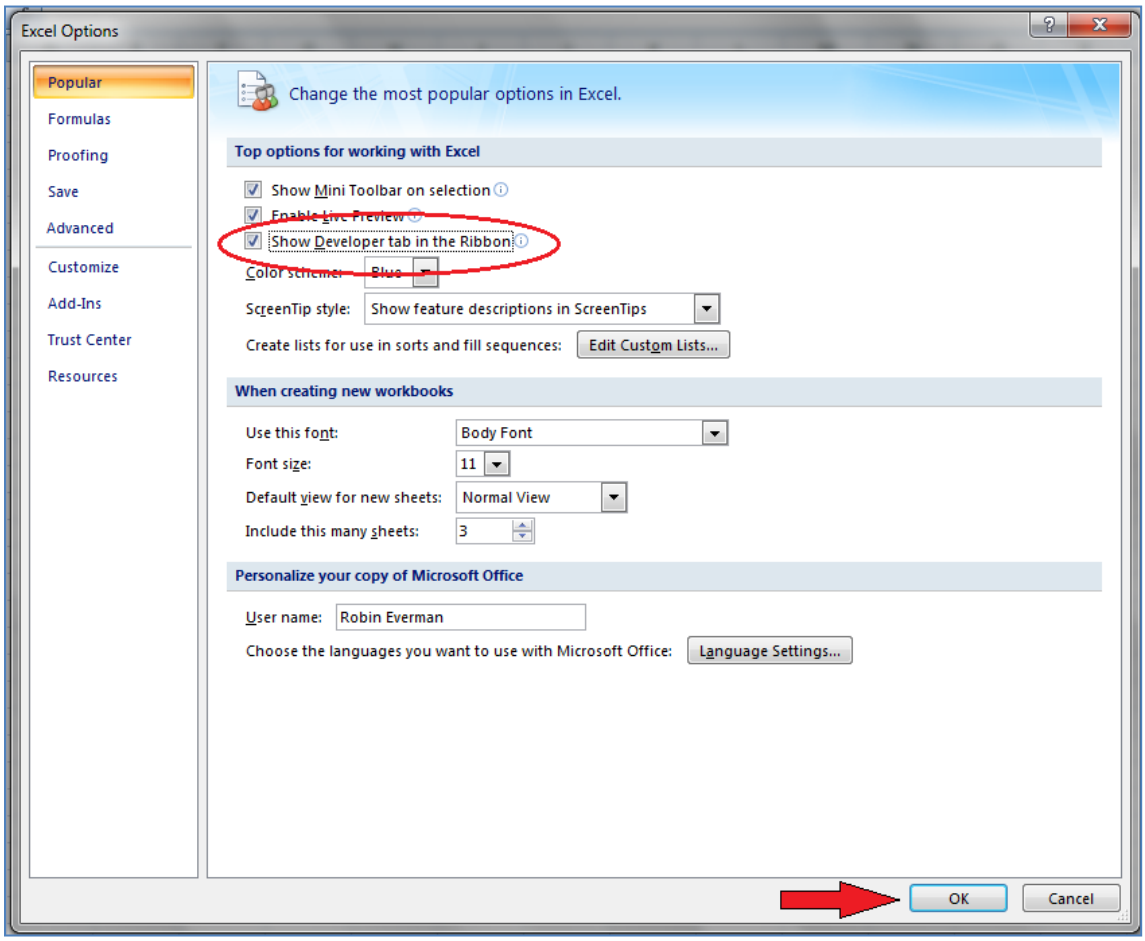


Image 4 – Enabling the Developer Menu Option

Step 5: Verify the "Developer" option is visible in the menu. If it is not visible, repeat steps two through five (in the Enable the Developer Menu Option section).

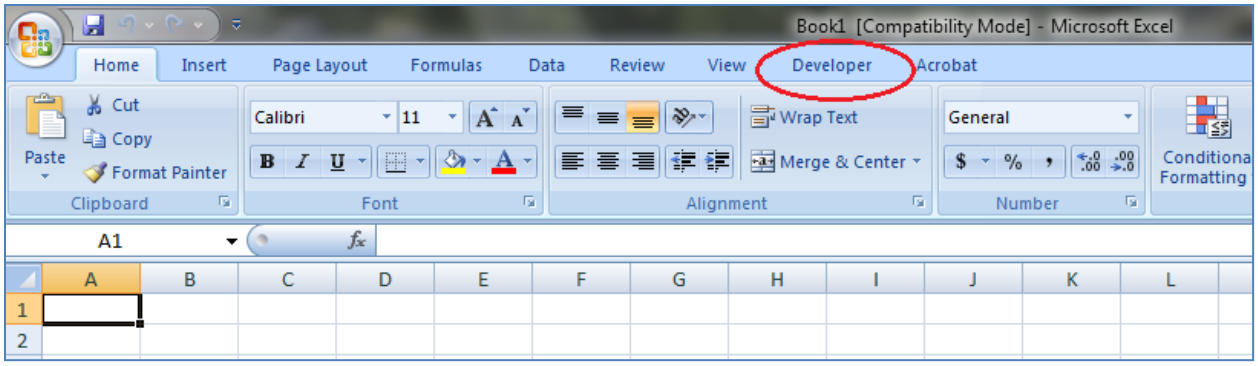


Image 5 – Excel Menu with Developer

Starting a New Return Each Month

Step 1: Download the appropriate XML converter for the tax return type you need (e.g., ALC-W, OTP-M, CIG-M). The converters are located on the electronic filing website for each tax type. The website addresses are in Important Reminders.

Step 2: Open the XML converter in Microsoft Excel. In Image 6, the converter is loaded for CIG CT-19.

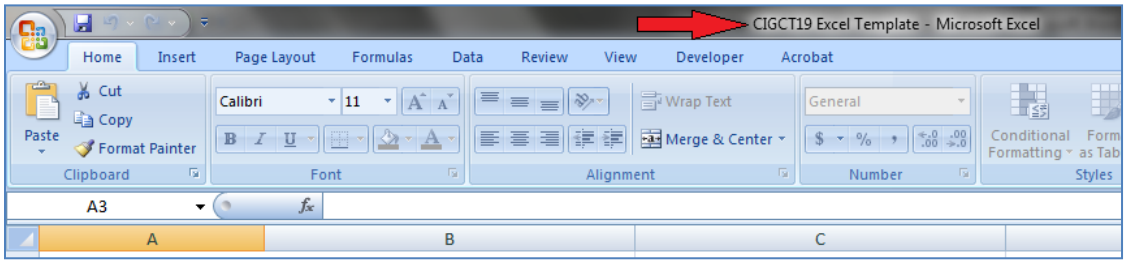


Image 6 – Loading the Converter Tool

Step 3: Click on the Microsoft Office button in the upper left-hand corner, select "Save As," and save the template as your return workbook. Although the workbook is used to generate the XML file sent to the DOR, the actual workbook is never sent to the DOR. Therefore, you can define a file naming standard that uniquely identifies your return workbook each month. Your naming standard does not need to adhere to the standard defined in the Indiana Bulk Upload Guide for XML files.

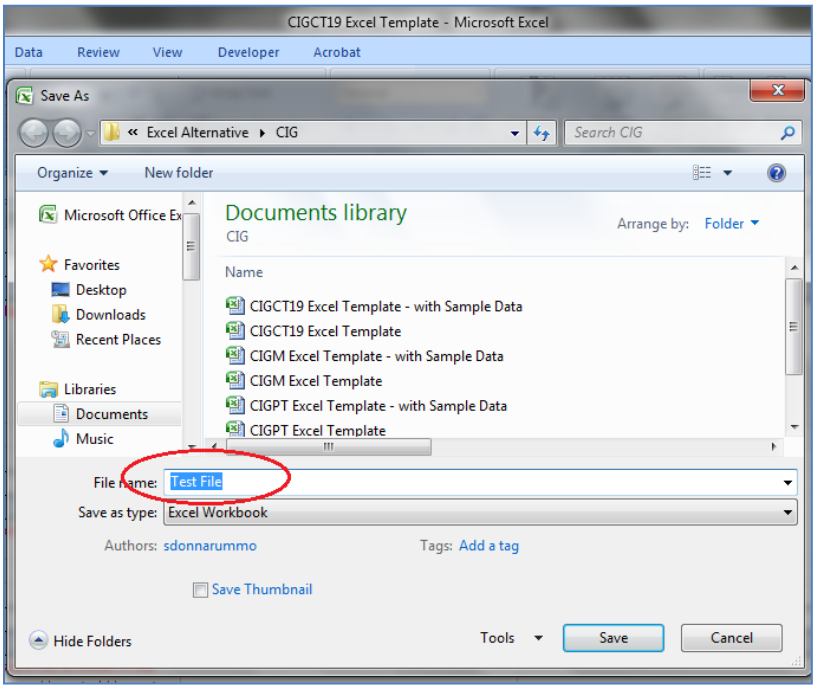


Image 7 – Creating a Workbook from the Converter Tool

Completing the Submission Information

Every month you must complete the Submission Information tab in the converter. The information in this tab is mandatory. There are three sections:

- Taxpayer Information
- Preparer Information
- Filer Information

Taxpayer Information		
Transmission ID	**Vendor Code**	**Tax Period Begin Date**
Contains the Vendor Code followed by the Julian Date (Julian Date must be numbers only, no decimal points) followed by a six digit sequence number	Code provided by the Indiana DOR during bulk file registration	YYYY-MM-DD
Preparer Information		
Name	**Phone**	**Email Address**
	Enter numbers only, no formatting (example: 3175551212)	
Filer Information		
FEIN	**Business Name**	**Address**
Must be 9 digits, no dashes	The following characters are not allowed in the Business Name field: comma (,) period (.) semi-colon (;) colon (:) plus (+) equal (=) less than (<) greater than (>) quote (") ampersand (&) apostrophe (')	

Image 8 – Submission Information Tab Sections

Taxpayer Information

Taxpayer information contains information that identifies the taxpayer and return period for the particular return being filed. When completing Taxpayer Information, follow the cell-specific instructions on the worksheet in addition to the XML field-level instructions in the XML schema definition document for the return type.

Step 1: Format and enter the Transmission ID. The Transmission ID must be unique. Reusing a Transmission ID from a previously submitted file will cause the file to be rejected. The acceptable Transmission ID format contains the following:

- **Vendor Code** – This is the code provided by the DOR to you during bulk file registration.
- **Julian Date** – This is the current date in Julian Date format. There are free websites that allow you to convert a date to Julian Date. The DOR requires you remove the decimal point before including the Julian Date in the Transmission ID.
- **Sequence Number** – This is a six digit sequence number. For example, if you are submitting one file the recommended sequence number is 000001. If you are submitting two separate files the recommended sequence number is 000001 for the first file and 000002 for the second file.

The Transmission ID is the Vendor Code, followed by the Julian Date and the Sequence Number.

For an example, assume the following:

- The Vendor Code is A1.
- The date is 8/29/2014 at 00:00:00. The Julian Date is 2456898.500000.
- Only one file is being submitted.

With this information, the Transmission ID is A12456898500000000001.

Step 2: Enter the Vendor Code. The vendor code is provided by the DOR to you during bulk file registration.

Step 3: Enter the Tax Period Begin Date, Tax Period End Date, and Tax Year. The begin and end dates must be entered in YYYY-MM-DD format. For example, if the tax period is October 2014 the Tax Period Begin Date is 2014-10-01, the Tax Period End Date is 2014-10-31, and the Tax Year is 2014.

Step 4: Format and enter the Submission ID. The acceptable Submission ID format contains the following:

- **Test-Production Code** – If the file being submitted is a test file, this code should be “T”. If the file being submitted is an official monthly return the code should be “P”.
- **Vendor Code** – This is the code provided by the DOR to you during bulk file registration.
- **Sequence Number** – This is a unique six-digit sequence number. Because the DOR only allows one return in an XML file, this sequence number will always be 000001.

The Submission ID is the Test-Production Code, followed by the Vendor Code and the Sequence Number.

For an example, assume the following:

- A test file is being created to submit to the DOR.
- The Vendor Code is A1.
- Only one return will ever be included in the XML file so the sequence number is 000001.

With this information, the Submission ID is TA1000001.

Step 5: Select the Process Type from the drop-down list. Enter "T" if the file is a test file and "P" if the file is an official monthly return.

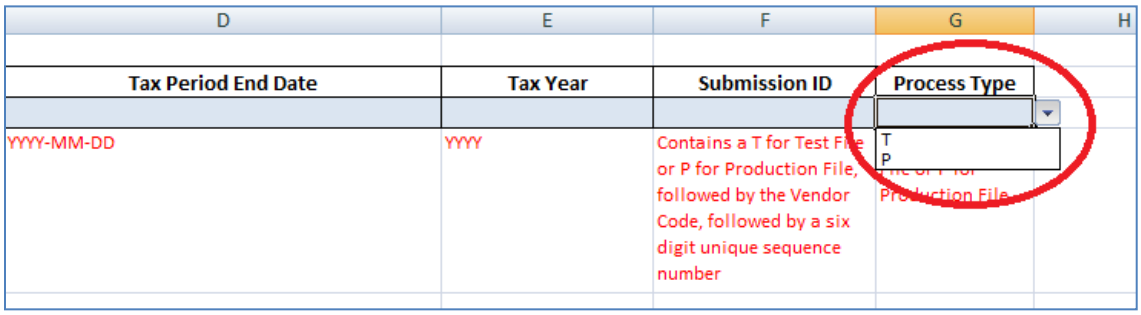


Image 9 – Process Type Selection

Preparer Information

When completing the Preparer Information, follow the cell-specific instructions on the worksheet as well as the XML field level instructions in the XML schema definition document for the return type. You must provide a name, phone number, and email address for a business contact who can confirm the submission information is accurate.

Step 1: Enter the name.

Step 2: Enter the phone number. The phone number should be entered as digits-only with no special formatting. For example, the phone number 317-555-1212 should be entered as 3175551212.

Step 3: Enter the email address.

Filer Information

When completing the Filer Information, follow the cell-specific instructions on the worksheet as well as the XML field level instructions in the XML schema definition document for the return type.

Step 1: Enter the Federal Employer Identification Number (FEIN). The FEIN should be entered as digits only with no special formatting. For example, the FEIN 35-1234567 is entered as 351234567.

Step 2: Enter the business name. The business name cannot contain the following special characters: comma (,) period (.) semi-colon (;) colon (:) plus (+) equal (=). If you include any of these special characters in the business name, the XML file will be rejected.

Step 3: Enter the address, city, state, and zip code.

Step 4: Enter the state ID. This is the 10-digit tax identification number (TID) provided to you by the DOR.

Step 5: Enter the location number. This is the 3-digit business location code provided to you by the DOR.

Step 6: Enter the email address. Provide the email of the person the DOR should contact if there is a problem with your submission.

Completing the Return and Schedule Sections

The DOR recommends both the XML schema definition document and the corresponding tax return form for the return type are referenced when completing the return and schedule sections. Both sources provide important field-level instructions.

The return and schedule sections are on separate tabs in the converter. The number of tabs and tab contents vary based on the return type.

Image 10 is from the ALC-M converter, which has one tab for return information and one for supporting schedule information:

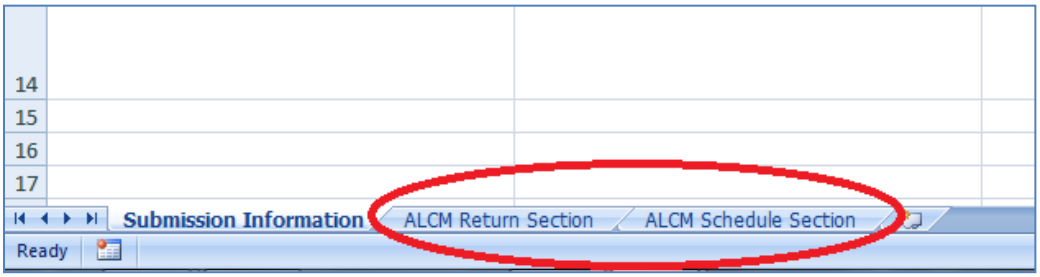


Image 10 – Return and Schedule for the ALC-M

Image 11 is from the more complex CIG-M converter, which has one tab for return information and seven tabs for supporting schedule information:

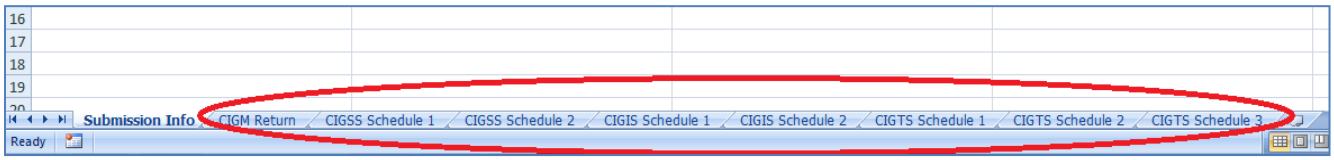


Image 11 – Return and Schedule for the CIG-M

Return Section

Step 1: Select the Return Filing Type. The valid options are: “O” for original return, “A” for amended return, “ONA” for original no activity return, or “ANA” for amended no activity return.

Step 2: Complete the return portion.

Notes:

- All fields are required in the return portion.
- The converter has been preset with zeros in the return fields. Modify only the applicable fields and leave the remaining as zero. If you delete the zeros and make the fields blank, the resulting XML file will be rejected.
- If the return filing type is ONA or ANA, there must be zeros in all the return fields. If any of the fields are blank or a non-zero value, the resulting XML file will be rejected.
- Fields that are shaded grey and protected are not applicable for that line on the return.

Schedule Section

Working with Repeating Lists

Most of the schedule sections allow for zero to multiple lines of data. In the converter, these data lines are entered in a **repeating list**. By default, all repeating lists in the converter are setup initially for one row of data. Image 12 is an example of a repeating list.

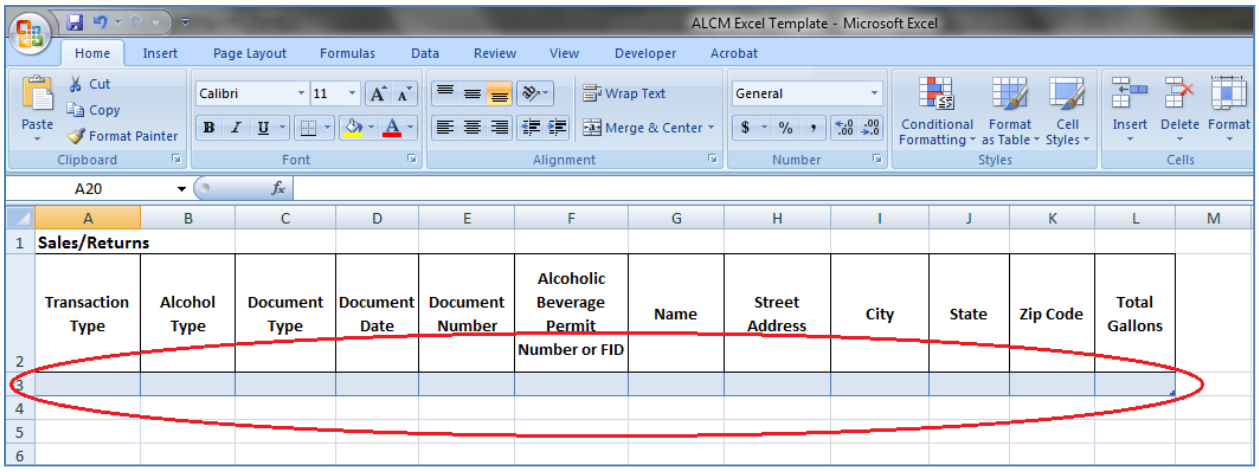


Image 12 – Repeating List

All repeating lists can be expanded to support as many rows allowed by either Microsoft Excel or the schema version (whichever is less). The row limits are described in the Important Reminders section. Every repeating list has an expander feature as depicted in Image 13.

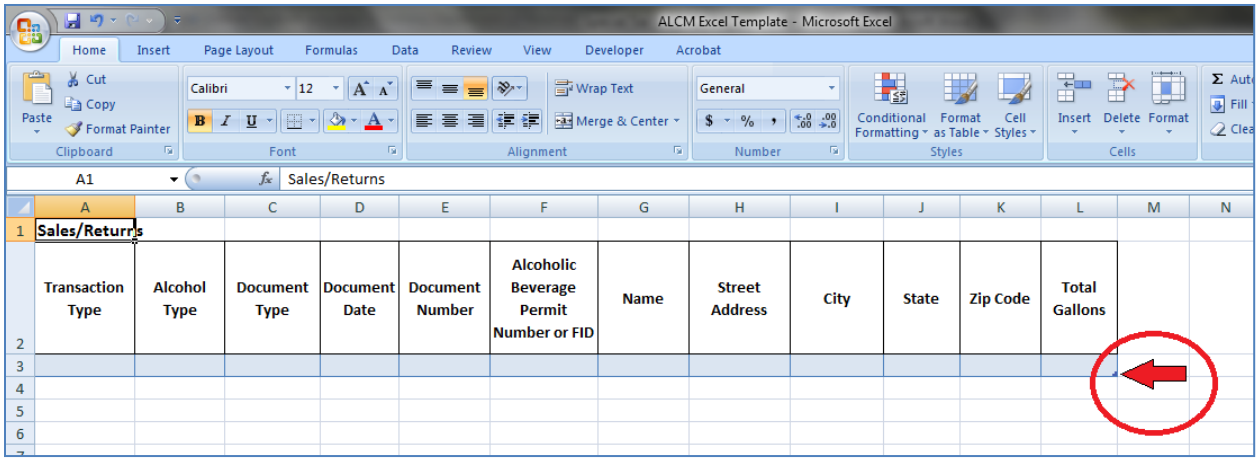


Image 13 – Repeating List Expander

There are two methods to expand a repeating list:

Method 1: Select the expander with the mouse and drag down to the number of rows you require. In Image 14, the list is expanded to support 10 rows of data. After you expand the list, you can begin to enter data. The repeating list should be expanded to the exact number of data rows. For example, if you have 50 rows of data then the repeating list should only be expanded to support 50 rows. If you have extra blank rows at the bottom of the list you must delete the blank rows.

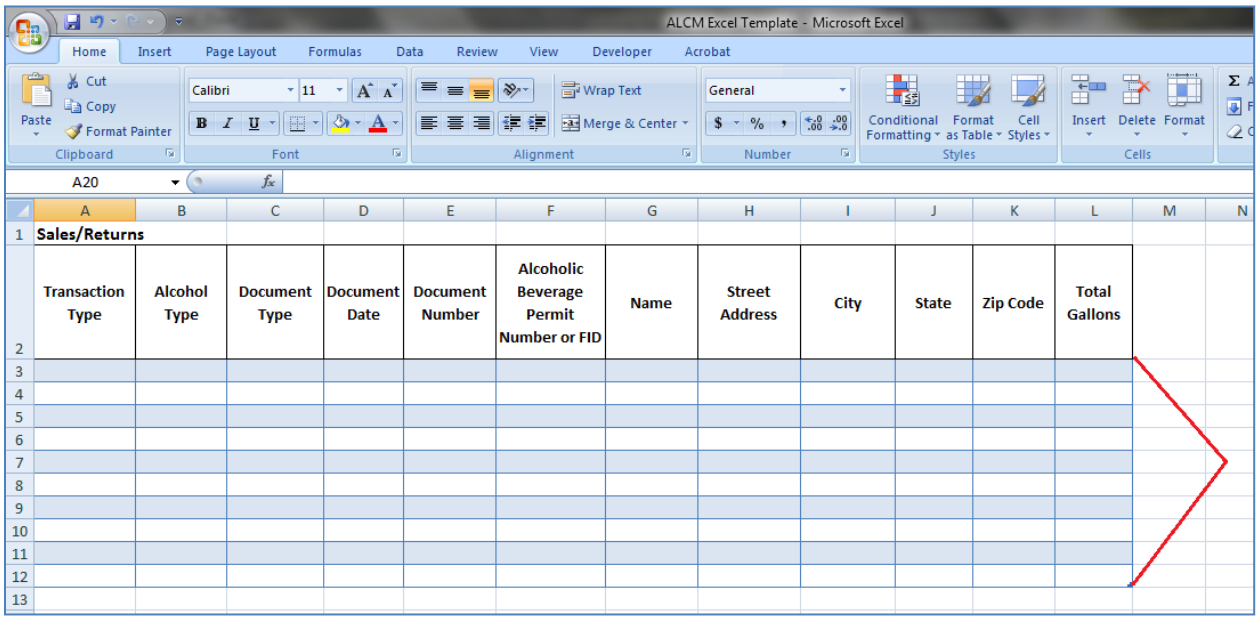


Image 14 – Repeating List Expander

Method 2: If you are unsure how many data rows you need, the list can automatically expand to fit your data. The list will automatically expand as you copy and paste your data directly into the repeating list. If you copy and paste your data, ensure your data is in the same column order as the repeating list. Additionally, some of the columns have drop-down lists with the allowed values. For these columns, you must ensure your data only includes values in the drop-down list.

Image 15 shows an example of a drop-down list in a repeating list. In this example, only the values of C, I, O, PO, CM, A, and RG are allowed for "Document Type." If your data contains values not in the drop-down list, the file will be rejected.

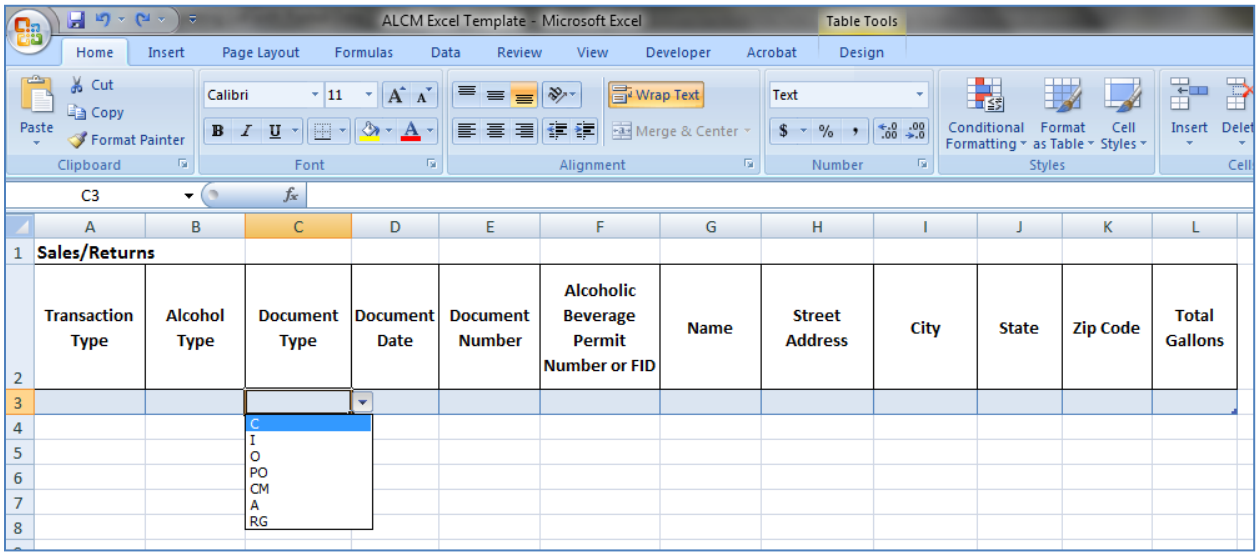


Image 15 – Drop Down in a Repeating List

After you have organized, formatted, and copied your data correctly, position your cursor in the first row and column of the repeating list as depicted in Image 16. Paste your data into the list. If you receive the warning message shown in Image 17, click "OK" to continue inserting your data into the list. Image 18 shows a list that has expanded automatically with pasted data.

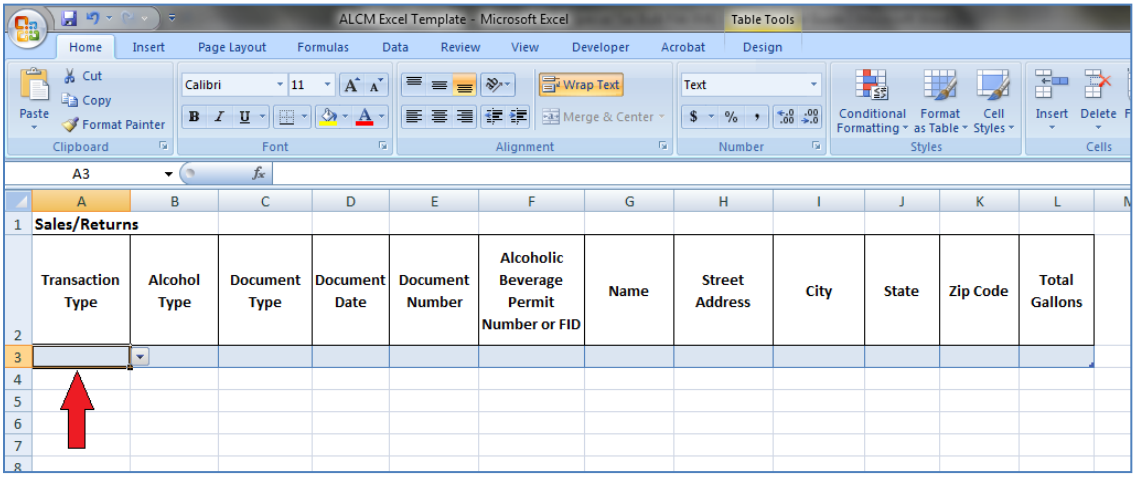


Image 16 – Preparing to Copy/Paste Data

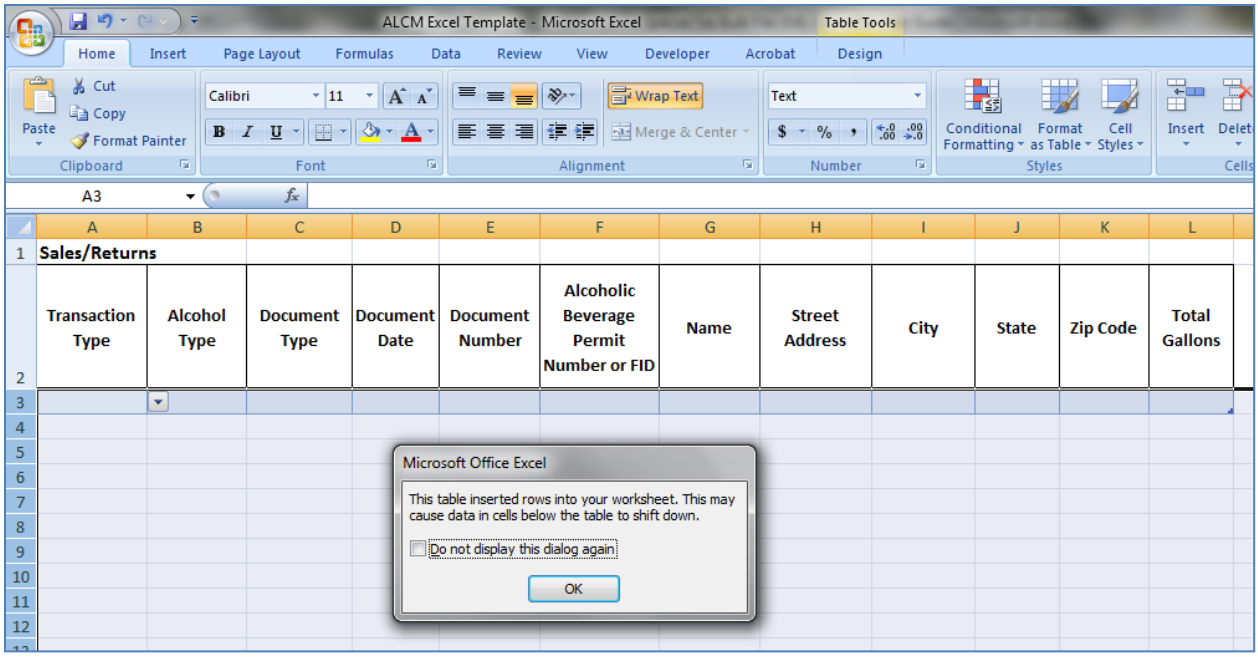
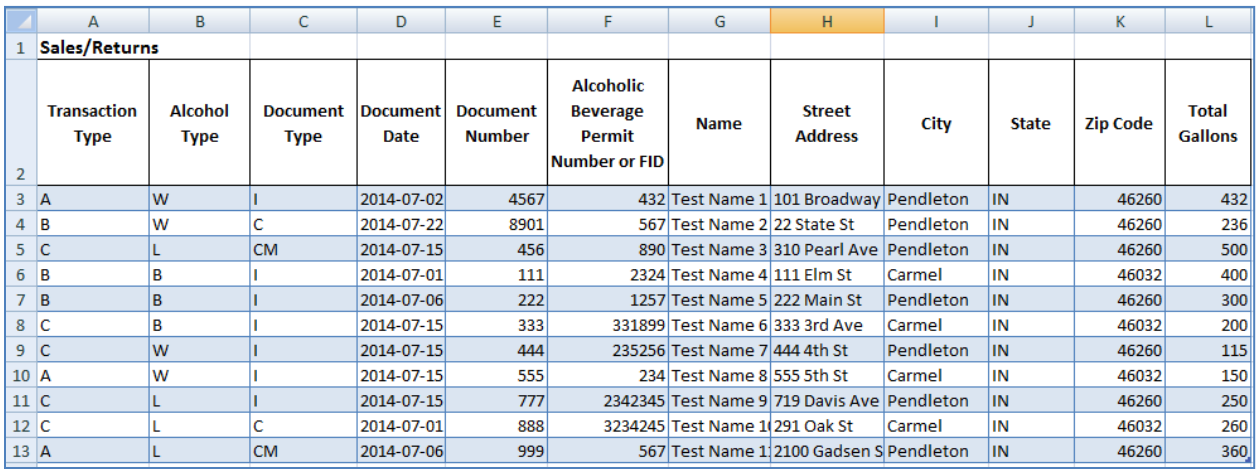


Image 17 – Warning Message when Inserting Data into a Repeating List



Sales/Returns

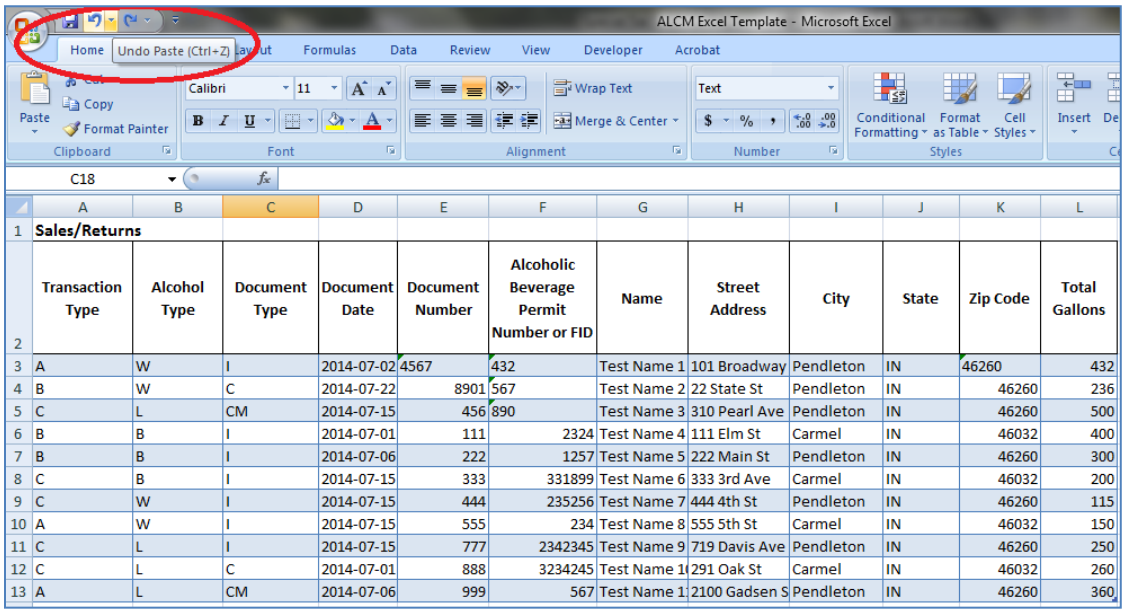
Transaction Type	Alcohol Type	Document Type	Document Date	Document Number	Alcoholic Beverage Permit Number or FID	Name	Street Address	City	State	Zip Code	Total Gallons
A	W	I	2014-07-02	4567	432	Test Name 1	101 Broadway	Pendleton	IN	46260	432
B	W	C	2014-07-22	8901	567	Test Name 2	22 State St	Pendleton	IN	46260	236
C	L	CM	2014-07-15	456	890	Test Name 3	310 Pearl Ave	Pendleton	IN	46260	500
B	B	I	2014-07-01	111	2324	Test Name 4	111 Elm St	Carmel	IN	46032	400
B	B	I	2014-07-06	222	1257	Test Name 5	222 Main St	Pendleton	IN	46260	300
C	B	I	2014-07-15	333	331899	Test Name 6	333 3rd Ave	Carmel	IN	46032	200
C	W	I	2014-07-15	444	235256	Test Name 7	444 4th St	Pendleton	IN	46260	115
A	W	I	2014-07-15	555	234	Test Name 8	555 5th St	Carmel	IN	46032	150
C	L	I	2014-07-15	777	2342345	Test Name 9	719 Davis Ave	Pendleton	IN	46260	250
C	L	C	2014-07-01	888	3234245	Test Name 1	291 Oak St	Carmel	IN	46032	260
A	L	CM	2014-07-06	999	567	Test Name 1	2100 Gadsen S	Pendleton	IN	46260	360

Image 18 – List Expanded After Inserting Data from Copy/Paste

Deleting Data in a Repeating List

If you made a mistake inserting your data into the repeating list you have two options to remove the data:

Option 1: If you realize your mistake immediately after insertion, you can click the undo button in to "Undo Paste."

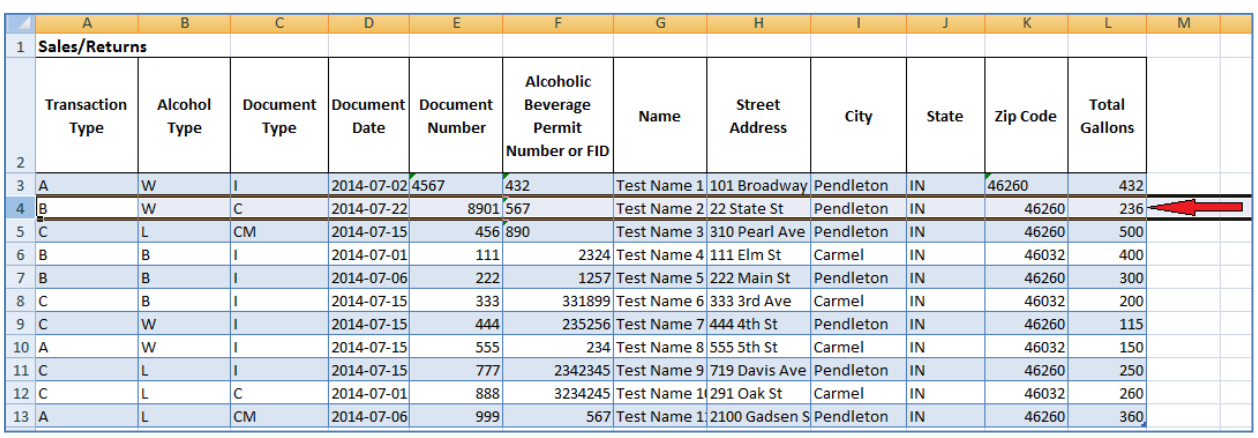


Transaction Type	Alcohol Type	Document Type	Document Date	Document Number	Alcoholic Beverage Permit Number or FID	Name	Street Address	City	State	Zip Code	Total Gallons
A	W	I	2014-07-02	4567	432	Test Name 1	101 Broadway	Pendleton	IN	46260	432
B	W	C	2014-07-22	8901	567	Test Name 2	22 State St	Pendleton	IN	46260	236
C	L	CM	2014-07-15	456	890	Test Name 3	310 Pearl Ave	Pendleton	IN	46260	500
B	B	I	2014-07-01	111	2324	Test Name 4	111 Elm St	Carmel	IN	46032	400
B	B	I	2014-07-06	222	1257	Test Name 5	222 Main St	Pendleton	IN	46260	300
C	B	I	2014-07-15	333	331899	Test Name 6	333 3rd Ave	Carmel	IN	46032	200
C	W	I	2014-07-15	444	235256	Test Name 7	444 4th St	Pendleton	IN	46260	115
A	W	I	2014-07-15	555	234	Test Name 8	555 5th St	Carmel	IN	46032	150
C	L	I	2014-07-15	777	2342345	Test Name 9	719 Davis Ave	Pendleton	IN	46260	250
C	L	C	2014-07-01	888	3234245	Test Name 1(	291 Oak St	Carmel	IN	46032	260
A	L	CM	2014-07-06	999	567	Test Name 1	2100 Gadsen S	Pendleton	IN	46260	360

Image 19 – Undo Paste

Option 2: You can manually delete data by following these steps.

Step 1: Starting with the **second row** of data, select all the rows of data in the repeating list. Image 20 shows the correct row to start selecting the data. If you select the data starting from the first row you will delete the entire repeating list control.

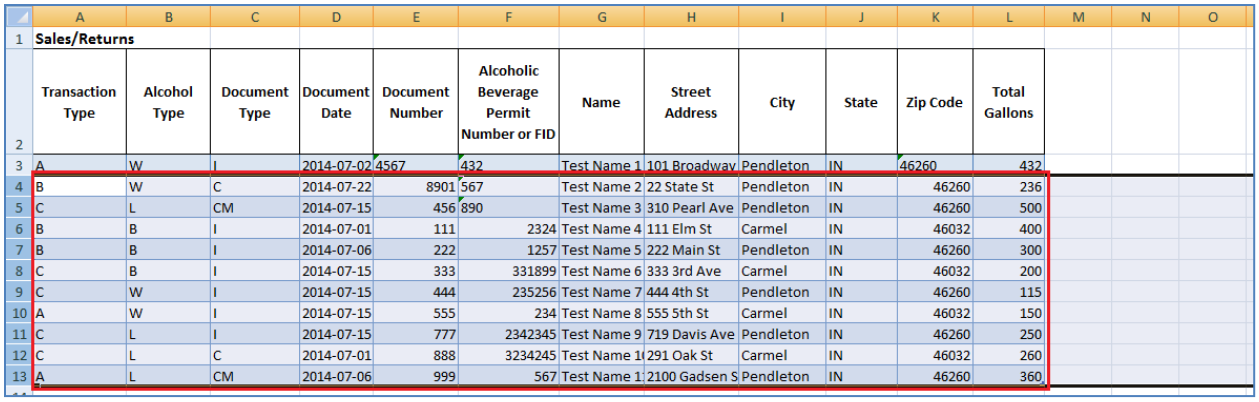


Sales/Returns

Transaction Type	Alcohol Type	Document Type	Document Date	Document Number	Alcoholic Beverage Permit Number or FID	Name	Street Address	City	State	Zip Code	Total Gallons
A	W	I	2014-07-02	4567	432	Test Name 1	101 Broadway	Pendleton	IN	46260	432
B	W	C	2014-07-22	8901	567	Test Name 2	22 State St	Pendleton	IN	46260	236
C	L	CM	2014-07-15	456	890	Test Name 3	310 Pearl Ave	Pendleton	IN	46260	500
B	B	I	2014-07-01	111	2324	Test Name 4	111 Elm St	Carmel	IN	46032	400
B	B	I	2014-07-06	222	1257	Test Name 5	222 Main St	Pendleton	IN	46260	300
C	B	I	2014-07-15	333	331899	Test Name 6	333 3rd Ave	Carmel	IN	46032	200
C	W	I	2014-07-15	444	235256	Test Name 7	444 4th St	Pendleton	IN	46260	115
A	W	I	2014-07-15	555	234	Test Name 8	555 5th St	Carmel	IN	46032	150
C	L	I	2014-07-15	777	2342345	Test Name 9	719 Davis Ave	Pendleton	IN	46260	250
C	L	C	2014-07-01	888	3234245	Test Name 1(	291 Oak St	Carmel	IN	46032	260
A	L	CM	2014-07-06	999	567	Test Name 1	2100 Gadsen S	Pendleton	IN	46260	360

Image 20 – Selecting the Data to Delete

Step 2: Once you select the **second row**, drag your mouse to the bottom of the repeating list to select the remaining rows.



	A	B	C	D	E	F	G	H	I	J	K	L
1	Sales/Returns											
2	Transaction Type	Alcohol Type	Document Type	Document Date	Document Number	Alcoholic Beverage Permit Number or FID	Name	Street Address	City	State	Zip Code	Total Gallons
3	A	W	I	2014-07-02	4567	432	Test Name 1	101 Broadway	Pendleton	IN	46260	432
4	B	W	C	2014-07-22	8901	567	Test Name 2	22 State St	Pendleton	IN	46260	236
5	C	L	CM	2014-07-15	456	890	Test Name 3	310 Pearl Ave	Pendleton	IN	46260	500
6	B	B	I	2014-07-01	111	2324	Test Name 4	111 Elm St	Carmel	IN	46032	400
7	B	B	I	2014-07-06	222	1257	Test Name 5	222 Main St	Pendleton	IN	46260	300
8	C	B	I	2014-07-15	333	331899	Test Name 6	333 3rd Ave	Carmel	IN	46032	200
9	C	W	I	2014-07-15	444	235256	Test Name 7	444 4th St	Pendleton	IN	46260	115
10	A	W	I	2014-07-15	555	234	Test Name 8	555 5th St	Carmel	IN	46032	150
11	C	L	I	2014-07-15	777	2342345	Test Name 9	719 Davis Ave	Pendleton	IN	46260	250
12	C	L	C	2014-07-01	888	3234245	Test Name 1	291 Oak St	Carmel	IN	46032	260
13	A	L	CM	2014-07-06	999	567	Test Name 1	2100 Gadsen S	Pendleton	IN	46260	360

Image 21 – Selecting the Data to Delete

Step 3: With the rows selected, position your cursor over the selected rows and right click to open the pop-up menu in Image 22.

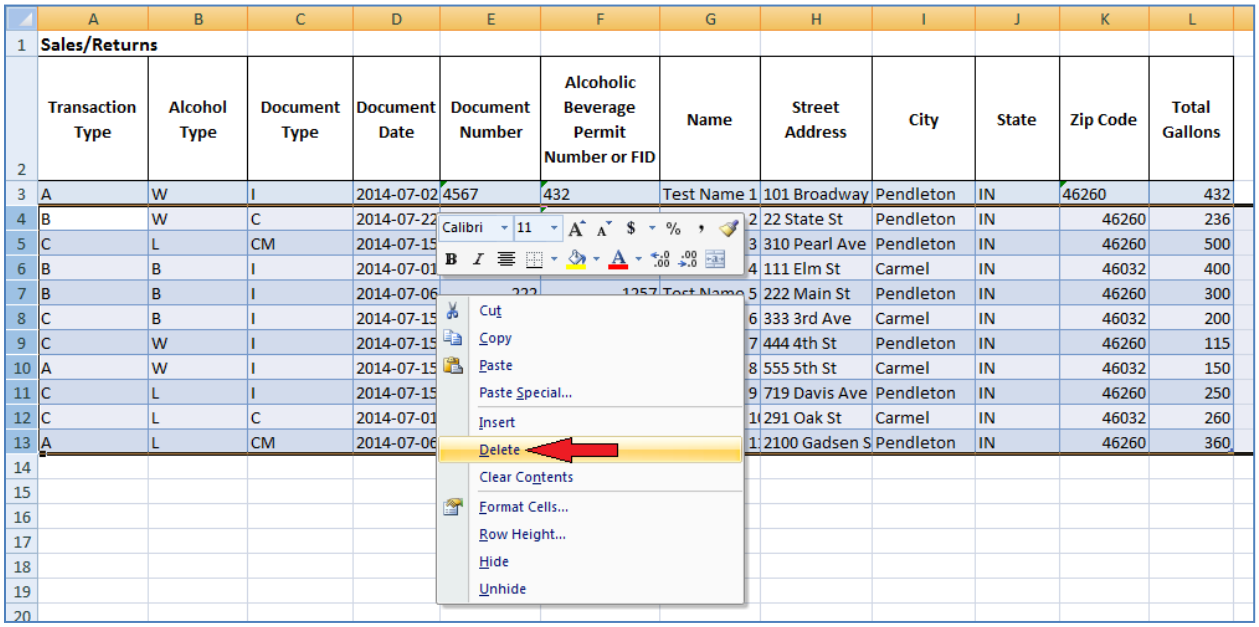


Image 22 – Selecting the Data to Delete

Step 4: Click "Delete." Image 23 shows the results from deleting. Because the first row of data was not selected it is still visible, which means the data was deleted correctly.

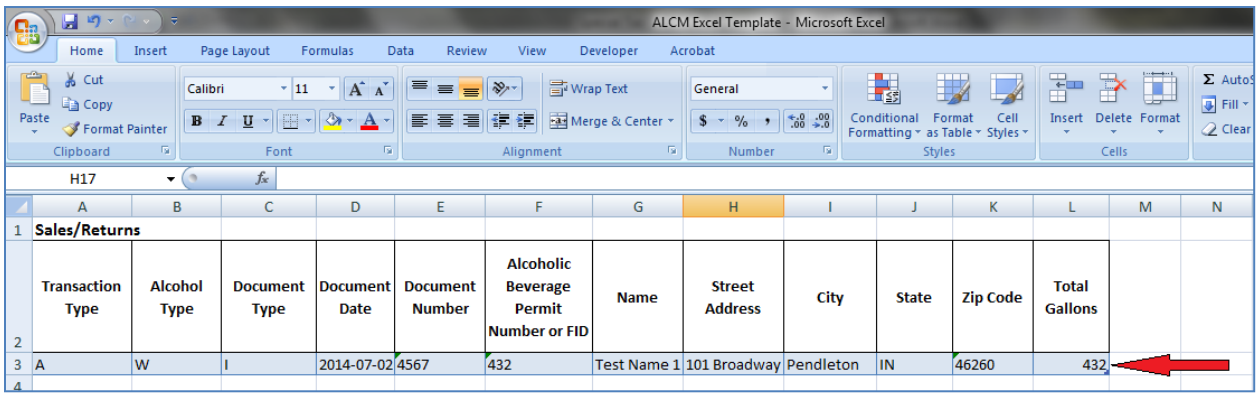


Image 23 – Selecting the Data to Delete

Step 5: To delete the remaining data row you must click each individual cell (A3, B3, C3….L3) and delete the data individually. In Image 24, each cell was individually selected and deleted. However, the blue shaded repeating list was not deleted. If you select and delete the entire row, the repeating list control is also deleted and you will not be able to create a correctly formatted XML file. If you delete the entire repeating list, follow the instructions in the next section [Accidental Deletion of a Repeating List](#).

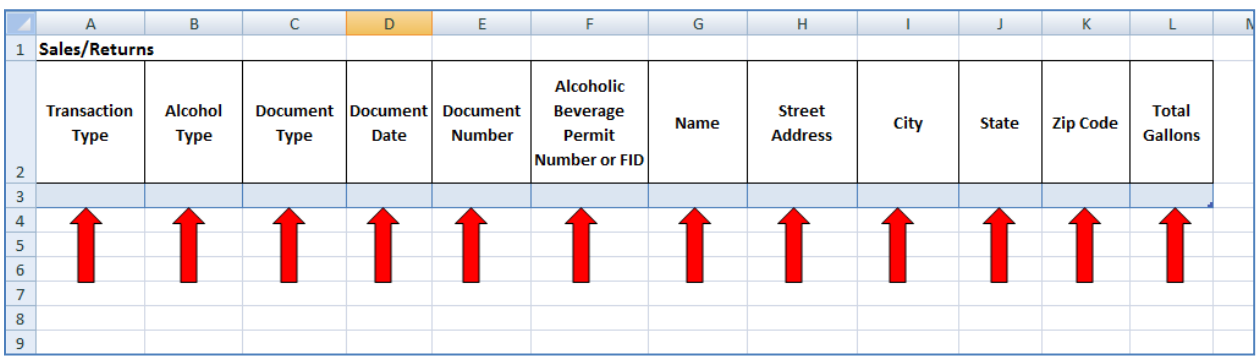


Image 24 – Deleting the Data in the First Row

Accidental Deletion of a Repeating List

Image 25 shows a schedule section where the entire repeating list has been deleted.

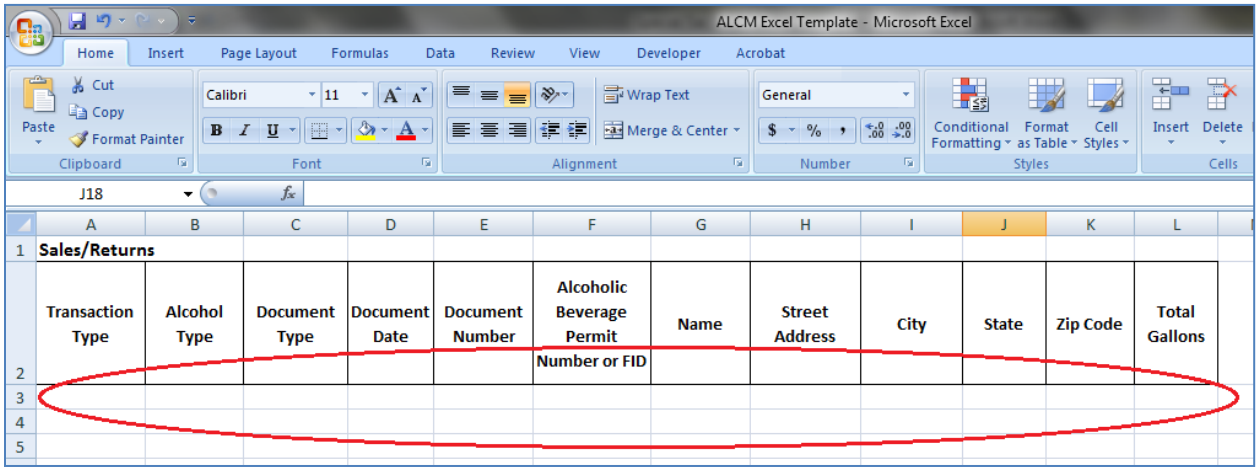


Image 25 – Repeating List Deleted

Very Important: If you accidentally delete a repeating list you must click the undo button in Microsoft Excel to restore it. If you can't undo the delete you have to delete your file and start over, beginning with downloading the converter template from the website.

Creating No-Activity Files

Follow these steps to create your submission file if you have a reporting month with no activity to report.

Step 1: Complete the Submission Information as outlined in Completing the Submission Information. You must complete this section even if you have no activity to report.

Step 2: On the Return tab select either "ONA" for Original – No activity return or "ANA" for Amended – No activity return for "Return Filing Type."

Step 3: As described in Completing the Return and Schedule Sections, all return fields are required, even for no activity returns. If the return is a no activity (ONA or ANA), enter zeros in numeric fields and N/A in text fields. Leaving the fields blank will cause the XML file to be rejected. Image 26 shows an example of a Return section for a no activity return.

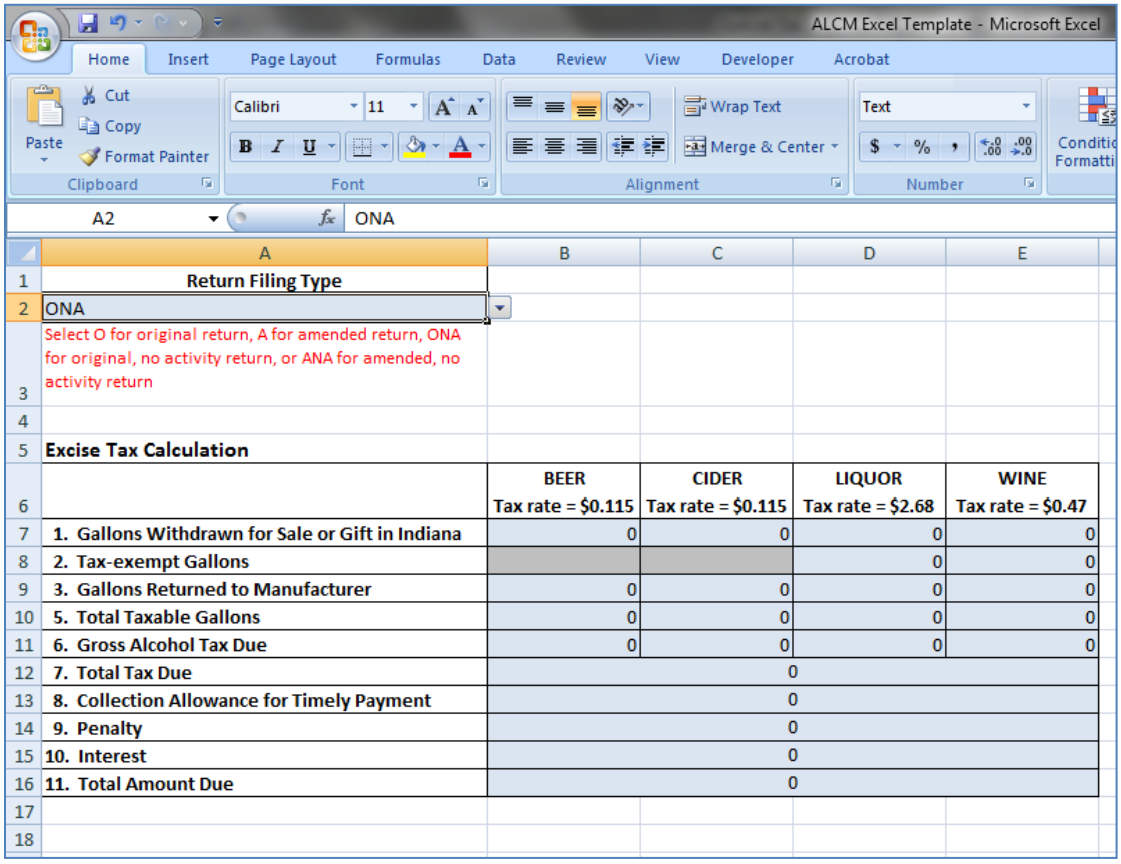


Image 26 – Return Section for a No Activity Return

Step 4: For no activity returns, ensure the repeating list(s) on the schedule section(s) are not expanded. If the lists are expanded for a no activity return, the file will be rejected. Image 27 depicts exactly how the repeating list should look on a no activity return. The list has only one row with no data.

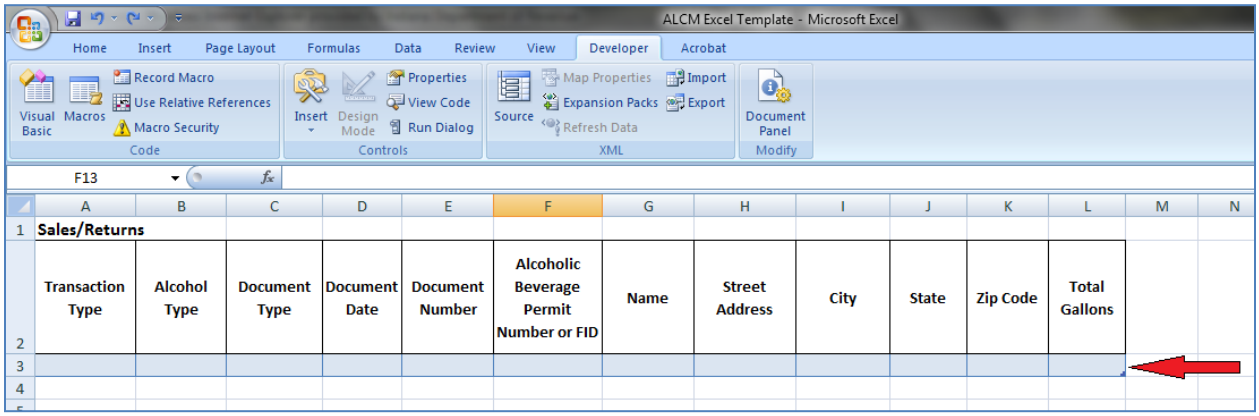


Image 27 – Repeating List for a No Activity Return

Exporting the XML File

To create the XML file you must have the "Developer" menu option. If you do not have "Developer," follow the instructions in Getting Started.

Step 1: From the "Developer" menu option click "Export."

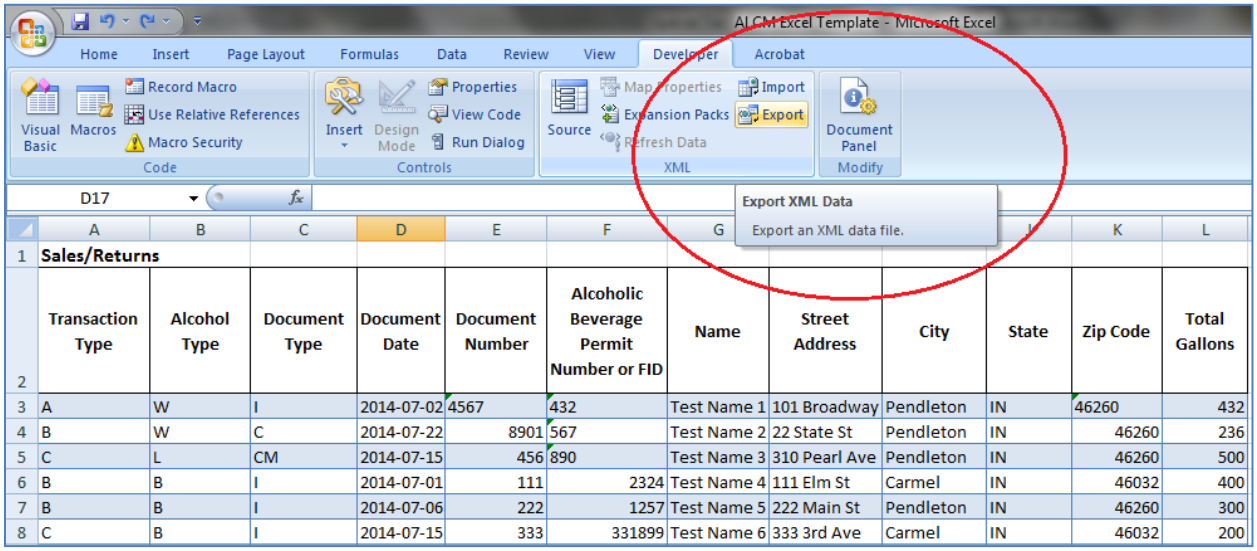


Image 28 – Export Feature

Step 2: The "Export XML" window will open as shown in Image 29. Enter the file name for the XML file following the naming standards in the Indiana Bulk Upload Guide. Ensure the "Save as type:" is XML. Select your desired folder location. Then, click the "Export" button.

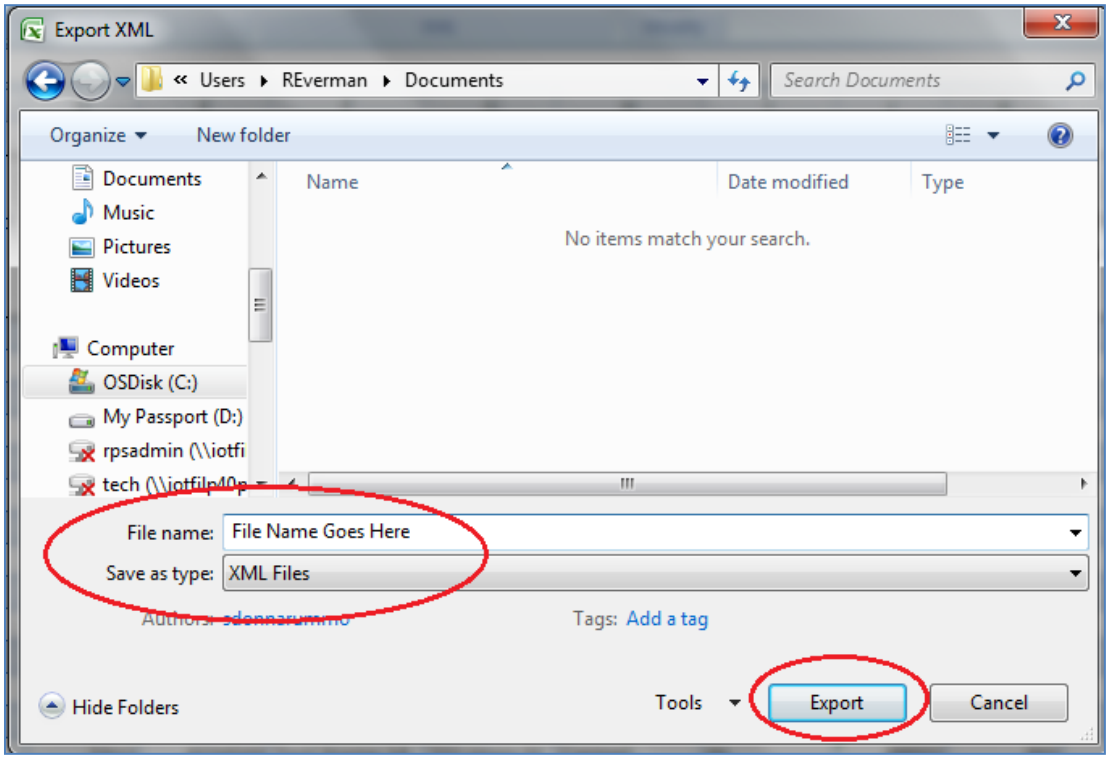


Image 29 – Export XML Window

Step 3: Ensure the XML file was created successfully. Samples of correctly formatted XML files are on the electronic filing websites. The website addresses are listed in the Important Reminders section.

Step 4: Once you have successfully created and exported the XML file, follow the instructions in the Indiana Bulk Upload Guide to encrypt and transmit the file to the DOR.

Very Important: If using the converter to generate your XML file, you still must complete the bulk upload certification process defined in the Indiana Bulk Upload Guide.

Getting Help

If you have questions or need more information about electronic filing for alcohol, cigarette and other tobacco products, please refer to the electronic filing websites.

- ALC: www.in.gov/dor/5162.htm
- CIG: www.in.gov/dor/5173.htm
- OTP: www.in.gov/dor/5168.htm

For more information about the technical requirements for the bulk file upload, please contact the DOR at bulkfiler@dor.in.gov or (317) 233-5656.