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Introduction

Any customer 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) beginning July 1, 2014.

Electronic filing can be completed via DOR’s e-services portal, INTIME, (for file sizes less than 10 MB) or Secure File Transfer Protocol (SFTP) bulk upload (for file sizes greater than 10 MB). The file format is an Extensible Markup Language (XML) file.

The XML schema structures, definitions, and sample files are available for [Alcohol](#) and [Cigarette and Other Tobacco Products](#).

In addition, DOR has created a Bulk File XML Converter, a Microsoft Excel conversion tool that allows taxpayers to enter their return and schedule information into a template that is exported as an XML file.

The converter tool is available for the following returns:

<table>
<thead>
<tr>
<th>Tax Type</th>
<th>Return</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alcohol</td>
<td>ALC-DWS, ALC-FW, ALC-M, ALC-PS, ALC-W</td>
</tr>
<tr>
<td>Cigarette</td>
<td>CIG-RM, CIG-NRM, CIG-TS, CIG-IS, CIG-SS, CT-19</td>
</tr>
<tr>
<td>Other Tobacco Products</td>
<td>OTP-M, OTP-M-S, OTP-PACT, CT-19</td>
</tr>
</tbody>
</table>

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 guide.
Important Reminders

When using the Bulk File XML Converter, pay attention to these important reminders:

1. Use the most up-to-date version of Excel.
2. Instructions and images in this user guide were created for Microsoft 365 Excel.\(^1\)
3. The converter tool is compatible with Excel 2003 and later.
4. 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, contact DOR at 317-615-2528 or incigtax@dor.in.gov.
5. Download the converter tool each month before preparing your monthly XML submission file to ensure you are using the most current version. Using the incorrect converter version will cause your XML files to be rejected.
   Converter tools available for download:
   - Alcohol
   - Cigarette
   - Other Tobacco Products
6. Formatting rules are as follows:
   a. Enter all dates as YYYY-MM-DD (e.g., 2014-10-01).
   b. The following special characters are not allowed in any field:
      - less than (<)
      - greater than (>)
      - ampersand (&)
      - apostrophe (’)
   c. Fields cannot include special characters. Phone number fields, nine-digit zip codes, and ID fields cannot include hyphens, dashes, or parentheses. A hyphenated number "317-555-1212" should be entered as "3175551212" without the hyphens.
   d. The Transmission ID must be unique for each file submission; otherwise, it will be rejected.
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, refer to the XML schema definitions for each specific return type for Electronic Filing for Alcohol and Cigarette and Other Tobacco Products Tax.
9. When using the converter to generate an XML file, you must still complete the bulk upload testing or certification process as defined in the Indiana Bulk Upload Guide.

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\(^1\) Screenshots were captured with the dark theme was applied to Excel. Some portions of the screenshots may be distorted for privacy and clarity.
Getting Started

Enabling the Developer Menu Option

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

**Step 1:** Open Excel and examine the ribbon. If you already have the “Developer” option enabled, skip steps two through five. The following image shows the ribbon without the “Developer” option.

![Ribbon without Developer option](image1.png)

**Step 2:** To add the “Developer” tab, click “File” in the upper-left corner.

![Ribbon with Developer option added](image2.png)

**Step 3:** Click “Options” in the lower-left corner of the window that slides into view.
Step 4: Follow these steps to add the “Developer” tab:

1. Click “Customize Ribbon” on the left-hand side navigation.
2. Choose “All Tabs” in the “Choose commands from:” drop-down list above the left column.
3. Click “Developer.”
4. Click the tab you wish “Developer” to appear after in the ribbon in the right column.
5. Click “Add > >” in between the two columns.
6. Click “OK.”

Step 5: The “Developer” tab should now appear in the ribbon. If it does not, restart Excel.
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-RM or CIG-NRM). The converters for each tax type are available on DOR’s [Electronic Filing for Alcohol](https://www.in.gov/dor/electronic-filing/) and [Cigarette and Other Tobacco Products Tax](https://www.in.gov/dor/cig-tax/) webpages. Links to converter tools are also available in the [Important Reminders](#) section of this guide.

**Step 2:** Open the XML converter in Excel. The following converter is loaded for CIG CT-19.

![XML converter in Excel](image)

**Step 3:** Click “File” in the upper-left corner and select “Save As” to save the template. Although the workbook is used to generate the XML file sent to DOR, the actual workbook is never sent. Therefore, you can define a file naming convention that uniquely identifies your workbook for each month. Your naming convention does **not** need to adhere to the standard defined in the [Indiana Bulk Upload Guide](https://www.in.gov/dor/bulk-upload/) for XML files.

![Save As](image)
Completing the Submission Information

The “Submission Information” tab, including the taxpayer, preparer and filer information sections in the converter must be completed every month. The information in this tab is mandatory.

**Taxpayer Information**

<table>
<thead>
<tr>
<th>Transmission ID</th>
<th>Vendor Code</th>
<th>Tax Period Begin Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>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</td>
<td>Code provided by DOR during bulk file registration</td>
<td>YYYY-MM-DD</td>
</tr>
</tbody>
</table>

**Preparer Information**

<table>
<thead>
<tr>
<th>Name</th>
<th>Phone</th>
<th>Email Address</th>
</tr>
</thead>
<tbody>
<tr>
<td>Enter numbers only, no formatting (example: 3175551212)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Filer Information**

<table>
<thead>
<tr>
<th>FEIN</th>
<th>Business Name</th>
<th>Address</th>
</tr>
</thead>
<tbody>
<tr>
<td>Must be 9 digits, no dashes</td>
<td>The following characters are <strong>not</strong> allowed in the Business Name field: comma (,) period (.) semi-colon (;) colon (:) plus (+) equal (=) less than (&lt;) greater than (&gt;), quote (&quot;), ampersand (&amp;), apostrophe (‘)</td>
<td></td>
</tr>
</tbody>
</table>
Taxpayer Information

The “Taxpayer Information” section contains information that identifies the taxpayer and time period for the return being filed. When completing “Taxpayer Information,” follow the cell-specific instructions in the worksheet as well as the XML field-level instructions in the XML schema definition document for the return type.

Schema definitions for Alcohol and Cigarette and Other Tobacco Products are available.

**Step 1:** Format and enter a unique Transmission ID. 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:** DOR provides this code 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. **Note:** The decimal point must be removed before including the Julian Date in the Transmission ID to DOR.
- **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 then the Sequence Number. The following is for example purposes only:

- The Vendor Code is A1.
- The date is August 29, 2022, at 11:30:15. The Julian Date is 2459820.9793403.
- Only one file is being submitted.

Given this information, the Transmission ID is A124598209793403000001.

**Step 2:** Enter the Vendor Code provided by DOR 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 2022, the Tax Period Begin Date is 2022-10-01, the Tax Period End Date is 2022-10-31, and the Tax Year is 2022.

**Step 4:** Format and enter the Submission ID, which is acceptable only if it contains the following:

- **Production (or Test) Code:** Test files will only be accepted for new customers or in special circumstances as deemed necessary. Testing is a manual process, and you must contact us via bulkfiler@dor.in.gov in the event you are required to submit a test file for the file to be processed and feedback to be provided. SFTP supported tax types will be processed as a production file unless you change the file type to a “T” instead of a “P” and notify the Bulk Filer mailbox to which you wish to submit a test file.
- **Vendor Code:** This is the code provided by DOR to you during bulk file registration.
- **Sequence Number:** This is a unique six-digit sequence number. DOR only allows one return in an XML file; therefore, the sequence number will always be 000001.
The Submission ID is the Production (or Test) Code, followed by the Vendor Code, and the Sequence Number.

The following is for example purposes only:

- A production file is being created to submit to DOR.
- 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 PA1000001.

**Step 5:** Select the “Process Type” from the drop-down list. Enter “P” for a file that is an official monthly return or “T” if the file is a test for which you have notified bulkfiler@dor.in.gov for it to be processed and feedback to be provided.

<table>
<thead>
<tr>
<th>Tax Period End Date</th>
<th>Tax Year</th>
<th>Submission ID</th>
<th>Process Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>YYYY-MM-DD</td>
<td>YYYY</td>
<td></td>
<td>T</td>
</tr>
</tbody>
</table>

**Preparer Information**

When completing the “Preparer Information” section, 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. Provide DOR with a name, phone number, and email address for the business contact who can confirm that the submission information is accurate.

**Step 1:** Enter the business name.

**Step 2:** Enter the phone number as digits only and no special formatting. A hyphenated “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 in 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) as digits only with no special characters. FEIN 35-1234567 should be 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 (=)

The XML file will be rejected if any of these special characters are included in the business name.

**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 by DOR.

**Step 5:** Enter the location number, a three-digit business location code provided by DOR.

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

Completing the Return and Schedule Sections

DOR recommends that 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 schedule sections are on separate tabs in the converter. The number of tabs, as well as the contents of each tab, vary based on the return type.

This image shows the ALC-M converter, which has one tab for return information and one for supporting schedule information.

This image shows the CIG-RM (or CIG-NRM) converter, which has seven tabs for supporting schedule information.
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
- “ANA” for Amended No-Activity return

**Note:** The CIG-RM and CIG-NRM Filing Type is located on the “Submission Information” tab of the converter.

**Step 2:** Complete the return portion.

**Important items to note:**

- All fields in the return portion are required.
- Converters have been prefilled with zeros in the return fields. You should only modify the applicable fields. Leave the remaining zeros. 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 converters, these rows are entered in a repeating list. By default, all repeating lists in the converter are set up initially for one row of data. The following image shows a repeating list.

Repeating lists can be expanded to support as many rows allowed by either Excel or a schema (whichever is less). Row limits are described in **Important Reminders**. Every repeating list has an expanding tool, as shown in the next image.
Expanding a Repeating List: Option 1
Click and hold the expander with your mouse and drag down to the number of rows you require, then enter your data. The list is expanded to support 10 rows of data in the following image.

Expanding a Repeating List: Option 2
If you do not know how many data rows you need, the list can automatically expand to fit 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.

Some columns have drop-down lists with accepted values. In these cases, be sure that your data only includes values in the list.

The example below shows the drop-down list in a repeating list. Only the values of C, I, O, PO, CM, A, and RG are allowed for the “Document Type.” If your data contains values that do not appear in the drop-down list, the file will be rejected. The drop-down button that is circled is used to display the lists.

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 the next image. Paste your data into the list.
If you receive a warning message that states, “This table inserted rows into your worksheet. This may cause data in cells below the table to shift down,” click “OK” to continue inserting your data into the list.

The next image shows a list that has expanded automatically with pasted data.
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:

Undo: Option 1

If you realize you have made a mistake immediately after inserting data, you can click the undo button in the upper-left corner or tap and hold CTRL and then tap the letter “Z” on your keyboard.

Manually Delete Data: Option 2

**Step 1**: Starting with the second row of data, select all the rows of data in the repeating list. The following image 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.
Step 2: Once you select the **second row**, drag your mouse to the bottom of the repeating list to select the remaining rows.

<table>
<thead>
<tr>
<th>Transaction Type</th>
<th>Alcohol Type</th>
<th>Document Type</th>
<th>Document Date</th>
<th>Document Number</th>
<th>Alcoholic Beverage Permit Number or FID</th>
<th>Name</th>
<th>Street Address</th>
<th>City</th>
<th>State</th>
<th>Zip Code</th>
<th>Total Gallons</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>W</td>
<td>I</td>
<td>2022-07-02</td>
<td>4567</td>
<td>432</td>
<td>Sample 1</td>
<td>101 Main St.</td>
<td>Indianapolis</td>
<td>IN</td>
<td>46204</td>
<td>432</td>
</tr>
<tr>
<td>B</td>
<td>F</td>
<td>C</td>
<td>2022-07-03</td>
<td>8901</td>
<td>567</td>
<td>Sample 2</td>
<td>202 West St.</td>
<td>Indianapolis</td>
<td>IN</td>
<td>46204</td>
<td>236</td>
</tr>
<tr>
<td>C</td>
<td>L</td>
<td>CM</td>
<td>2022-07-08</td>
<td>1252</td>
<td>890</td>
<td>Sample 3</td>
<td>81 Pearl Ln.</td>
<td>Indianapolis</td>
<td>IN</td>
<td>46204</td>
<td>151</td>
</tr>
<tr>
<td>D</td>
<td>B</td>
<td>I</td>
<td>2022-07-12</td>
<td>4443</td>
<td>2324</td>
<td>Sample 4</td>
<td>4332 Elm St.</td>
<td>Indianapolis</td>
<td>IN</td>
<td>46204</td>
<td>252</td>
</tr>
<tr>
<td>B</td>
<td>B</td>
<td>I</td>
<td>2022-07-13</td>
<td>7181</td>
<td>1257</td>
<td>Sample 5</td>
<td>605 Oak Dr.</td>
<td>Indianapolis</td>
<td>IN</td>
<td>46204</td>
<td>303</td>
</tr>
<tr>
<td>A</td>
<td>B</td>
<td>I</td>
<td>2022-07-16</td>
<td>1402</td>
<td>331899</td>
<td>Sample 6</td>
<td>777 7th St.</td>
<td>Indianapolis</td>
<td>IN</td>
<td>46204</td>
<td>456</td>
</tr>
<tr>
<td>C</td>
<td>W</td>
<td>I</td>
<td>2022-07-22</td>
<td>6606</td>
<td>235256</td>
<td>Sample 7</td>
<td>5550 Jay St.</td>
<td>Indianapolis</td>
<td>IN</td>
<td>46204</td>
<td>444</td>
</tr>
</tbody>
</table>

Step 3: Position your cursor over the selected rows and right click to open the pop-up menu.

Step 4: Click “Delete.” The next image shows the results from deleting. The first row of data was not selected and is still visible, which means the data was deleted correctly.

<table>
<thead>
<tr>
<th>Transaction Type</th>
<th>Alcohol Type</th>
<th>Document Type</th>
<th>Document Date</th>
<th>Document Number</th>
<th>Alcoholic Beverage Permit Number or FID</th>
<th>Name</th>
<th>Street Address</th>
<th>City</th>
<th>State</th>
<th>Zip Code</th>
<th>Total Gallons</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>W</td>
<td>I</td>
<td>2022-07-02</td>
<td>4567</td>
<td>432</td>
<td>Sample 1</td>
<td>101 Main St.</td>
<td>Indianapolis</td>
<td>IN</td>
<td>46204</td>
<td>432</td>
</tr>
<tr>
<td>B</td>
<td>F</td>
<td>C</td>
<td>2022-07-03</td>
<td>8901</td>
<td>567</td>
<td>Sample 2</td>
<td>202 West St.</td>
<td>Indianapolis</td>
<td>IN</td>
<td>46204</td>
<td>236</td>
</tr>
<tr>
<td>C</td>
<td>L</td>
<td>CM</td>
<td>2022-07-08</td>
<td>1252</td>
<td>890</td>
<td>Sample 3</td>
<td>81 Pearl Ln.</td>
<td>Indianapolis</td>
<td>IN</td>
<td>46204</td>
<td>151</td>
</tr>
<tr>
<td>D</td>
<td>B</td>
<td>I</td>
<td>2022-07-12</td>
<td>4443</td>
<td>2324</td>
<td>Sample 4</td>
<td>4332 Elm St.</td>
<td>Indianapolis</td>
<td>IN</td>
<td>46204</td>
<td>252</td>
</tr>
<tr>
<td>B</td>
<td>B</td>
<td>I</td>
<td>2022-07-13</td>
<td>7181</td>
<td>1257</td>
<td>Sample 5</td>
<td>605 Oak Dr.</td>
<td>Indianapolis</td>
<td>IN</td>
<td>46204</td>
<td>303</td>
</tr>
<tr>
<td>A</td>
<td>B</td>
<td>I</td>
<td>2022-07-16</td>
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<td>331899</td>
<td>Sample 6</td>
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<td>Indianapolis</td>
<td>IN</td>
<td>46204</td>
<td>456</td>
</tr>
<tr>
<td>C</td>
<td>W</td>
<td>I</td>
<td>2022-07-22</td>
<td>6606</td>
<td>235256</td>
<td>Sample 7</td>
<td>5550 Jay St.</td>
<td>Indianapolis</td>
<td>IN</td>
<td>46204</td>
<td>444</td>
</tr>
</tbody>
</table>
**Step 5**: To delete the remaining data, click each individual cell (A3, B3, C3, etc.) and delete the data by typing the Backspace or Delete keys.

Note that the blue shaded repeating list was not deleted, maintaining the drop-down repeating list control. If you select and delete the entire row, **the control will be deleted**, and you will not be able to create a correctly formatted XML file.

If you delete the entire repeating list control(s), follow the instructions in the **Accidental Deletion of a Repeating List** section.

---

**Accidental Deletion of a Repeating List**

The next image shows a schedule section where the entire repeating list has been deleted.

If you accidentally delete a repeating list, click the undo button or tap and hold CTRL and then tap the letter “Z” in Excel to restore it.

If you cannot undo the accidental deletion, **delete your file and start over** by redownloading the converter template.
Creating No-Activity Files

If a reporting month has no activity to report, follow these steps to create a No-Activity submission file:

**Step 1:** Complete the Submission Information as outlined under the [Completing the Submission Information Sections](#). You must complete this section even if you have no activity to report.

**Step 2:** On the Return tab, select **one** of these options:
- “ONA” for Original No-Activity return
- “ANA” for Amended No-Activity return
- No-Activity return for Returning 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 has 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. The following image shows an example of a 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. The image below depicts how the repeating list should look on a No-Activity return with only one row and no data.
Exporting the XML File

To create the XML file, you must have the “Developer” menu option. If the “Developer” tab is not currently showing in your ribbon, follow the instructions in Getting Started.

**Step 1:** From the “Developer” tab, click “Export” to “export an XML data file.”

**Step 2:** The “Export XML” window will open as shown in the next image. Enter the file name for the XML file abiding by the naming convention standards in the Indiana Bulk Upload Guide. Ensure the “Save as type:” is XML. Select your desired folder location, then, click the “Export” button.
Step 3: Ensure the XML file was created successfully. Samples of correctly formatted XML files are on the electronic filing websites 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 DOR.

Getting Help

If you have questions or need more information about electronic filing for alcohol, cigarette, and other tobacco products, see the following resources:

- Alcohol
- Cigarette and Other Tobacco Products

For guidance on technical requirements for the bulk file upload, contact DOR at bulkfiler@dor.in.gov or 317-233-5656.