

GUIDELINES

Electronic Reporting for Ozone-Depleting Substances

Part 2: Preparing Data for Submission

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Guidelines Part 2: Preparing Data for Submission

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Overview

This document, **Preparing Data for Submission**, is the second part of a comprehensive three-part guidance developed to assist stakeholders in submitting data electronically on ozone-depleting substances (ODS). In its entirety, the three-part guidance provides step-by-step instructions on:

1. Registering as a CDX User,
- 2. Preparing Data for Submission, and**
3. Submitting ODS Data to EPA.

Part 1 of the guidance details the steps required to register as a CDX user. The registration process is a one-time process that will need to be completed prior to submitting data electronically. **Part 2 provides guidance on how to prepare data for submission.** Part 3 provides guidance on how to zip, upload, and submit files to EPA using CDX. The remainder of this document focuses on Part 2.

Part 2 of this guidance involves two key steps: (A) entering data and (B) “exporting” the data into the appropriate format for submission to EPA. The remainder of this document discusses each of these major steps in further detail.

If further assistance is required, please contact Mike James at **(202) 343-9192**.

Part II. Preparing Data for Submission

A. Entering ODS Data

Step 1: Locate and Download the ODS Electronic Reporting Forms

- To submit ODS data electronically, data needs to be entered into EPA's electronic reporting forms, which were developed in Microsoft Excel.
- There is a separate Excel file for each of the forms that can be submitted electronically. Visit <http://www.epa.gov/ozone/record/ereport.html> to access and download the latest version of the electronic reporting forms.

Note: The electronic reporting forms are periodically updated to incorporate general improvements and reflect changes to the reporting requirements. In order for data to be accepted into EPA's ODS tracking system, stakeholders must submit data using the latest version of the electronic reporting forms. Please check the website frequently to ensure that you are using the latest version of the electronic reporting forms.

Important!

The electronic reporting forms were created using Microsoft Excel® 2007 and have been tested to ensure compatibility with older versions of the software. The forms include features that are enabled by macros. To use these features, your Excel security settings must allow macros. If you experience trouble:

- Click Macro on the Tools menu.
- Click Security in the Macros dropdown.
- Choose either medium or low security.
- Exit Excel to apply the new settings.
- If prompted, always enable macros when you open any electronic form.

Step 2: Enter Data into Electronic Report

- **Navigating through the Reporting Forms**
 - Each reporting form contains a number of sections that you must complete prior to submission. For example, the Class I Producer form contains two sections while the Class II Importer form contains four sections. Each section of the report is contained within a separate tab of the Excel file.
 - Once a section is completed, select the "Proceed to Section X" button to advance to the next section of the report.
 - If you need to edit data in a previous section of the report, use the tabs at the bottom of the report to navigate to a previous section of the report. After the data has been edited, use the "Proceed to Section X" buttons to advance to the next section of the report. **Selecting these buttons (rather than the tabs) is required in order to activate the automated features of the forms.**

Guidelines Part 2: Preparing Data for Submission

United States Environmental Protection Agency
Stratospheric Ozone Protection Program
CLASS I CONTROLLED SUBSTANCE
Producer Quarterly Report (Sec 82.13)
Version 10 (Published June 2013)

SECTION 1 PRODUCING COMPANY IDENTIFICATION

1.1 Date of Submission: 1.2 Original Submittal Re-submittal

1.3 Quarter and Year to Which This Report Applies: Year: 1st 2nd 3rd 4th

1.4 Importer Information: Is your company an Importer of class I substances? Yes No

1.5 Exporter Information: Is your company an Exporter of class I substances? Yes No

SUBMISSION: Click "Proceed to Section 2" to continue completing this form. Upon completing Section 2, please click "Prepare for Submission (Export Data)." Please refer to the reporting guidance (available at <http://www.epa.gov/ozone/record/>) for additional information on form submission.

Proceed to Section 2

United States Environmental Protection Agency
Stratospheric Ozone Protection Program
CLASS II CONTROLLED SUBSTANCE
Importer Quarterly Report (Sec 82.24)
Version 10 (Published June 2013)

SECTION 1 IMPORTING COMPANY IDENTIFICATION

1.1 Date of Submission: 1.2 Original Submittal Re-submittal

1.3 Quarter and Year to Which This Report Applies: Year: 1st 2nd 3rd 4th

1.4 Eleven-digit IRS Importer Number

SUBMISSION: Click "Proceed to Section 2" to continue completing this form. After you complete Section 2, please click "Proceed to Section 3." After you complete Section 3, please click "Proceed to Section 4." Upon completing Section 4, please click "Prepare for Submission (Export Data)." Please refer to the reporting guidance (available at <http://www.epa.gov/ozone/record/>) for additional information on form submission.

Proceed to Section 2

- **Entering Data**

- Some report sections have an example row beneath the column header as well as information on the data type and instructions on whether or not the cell can be left blank.
- Additional instructions for entering data can also be found in comment bubbles that can be viewed by scrolling over the cells that have a red flag in the top right corner.

Transaction Number		Source Country	Quantity of HCFC Imported if Not a Blend	Quantity of HCFC Imported if Not a Blend	If a Blend, What is the Name of Blend?	Quantity of Blend	Name of HCFC in Blend	Quantity of HCFC in Blend	Name of HCFC in Blend	Quantity of Blend
1		France	Yes		R-401A	234,567.01	HCFC-22	124,320.52	HCFC-124	
Input Data Below:										

Important Notes about Entering Data in the Electronic Reporting Forms

The electronic reporting forms were designed to simplify data entry, especially for transaction-level data. However, if data is pasted into the electronic reporting forms from another spreadsheet, the formatting of specific cells must be consistent with the requirements of the form in order to be successfully uploaded into EPA's ODS tracking system.

Drop Down Lists

You must be sure that data in all of the cells that have a *drop-down list* in the electronic forms match the data lists in these drop-down cells *exactly*. ***If you do not format the data properly, EPA's tracking system will not accept your submission.***

Formatting

For the most part, the electronic reporting forms are pre-formatted so that when entering data, such as dates, the form will automatically format your data appropriately. However, there are some instances in which you will need to enter data according to certain formatting requirements. These requirements are detailed in the red column "flags" (which can be seen by scrolling over each cell) of each column header. Therefore, it is important to always read *all* instructions given in the flags for each column and to ensure your entries are formatted in the same way as those in the sample row.

Automated Cells

When copying and pasting data into the reporting forms, you should not copy and paste into automated cells, which are shaded in gray in the reporting forms. Once your data is entered and you proceed through the reporting form, the form will generate lists of chemical names and calculate the values in these cells for you automatically.

Blank Cells

Certain fields are applicable to all reporting companies and must be completed. If a required cell is left blank, when EPA uploads your data into its tracking system, the entire submission will be rejected and you will be asked to correct the form and re-submit.

Certain fields are not required. For example, if you imported a substance that was not a blend, the fields asking for information about an imported blend are not applicable for your particular transaction. In each of the forms, in the row beneath the column title, instructions appear indicating whether or not the cell can be left blank.

If a cell is not applicable to your reporting information, **DO NOT enter any information; leave these cells BLANK.** (Entering a dash or "NA" can interfere with EPA's procedures to process and store the submitted data.)

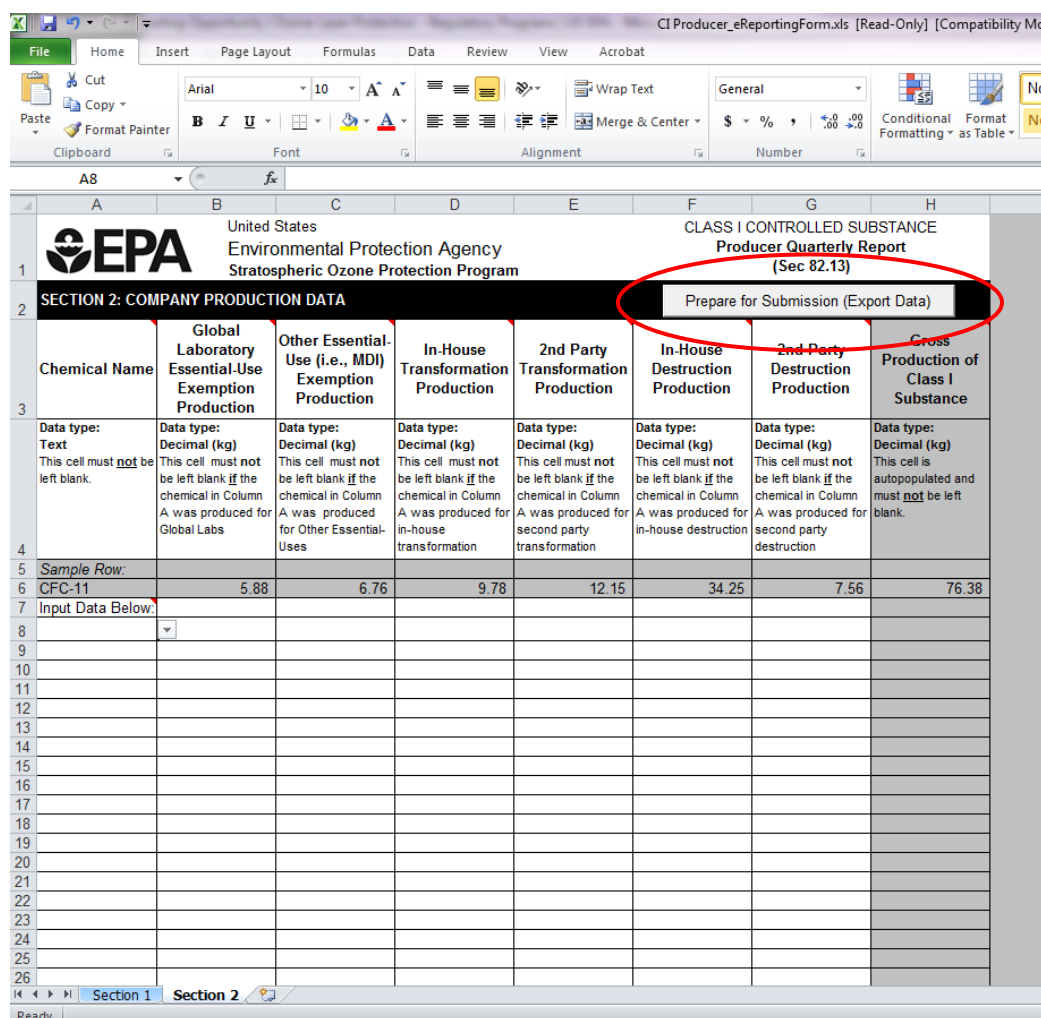
- **Saving Data**

- The electronic reporting forms may be saved to your computer at any time during the data entry process. To save your file, select "file" -> "save as" and navigate to a folder on your computer where you would like to save the report. It is recommended that you save the file in a submission-specific folder. You may edit the file name when saving the Excel version of the report.
- When you open a saved electronic reporting form to complete/edit data, use the "Proceed to Section X" buttons to advance to through the sections of the report.

B. Export Data into Appropriate Format for Submission

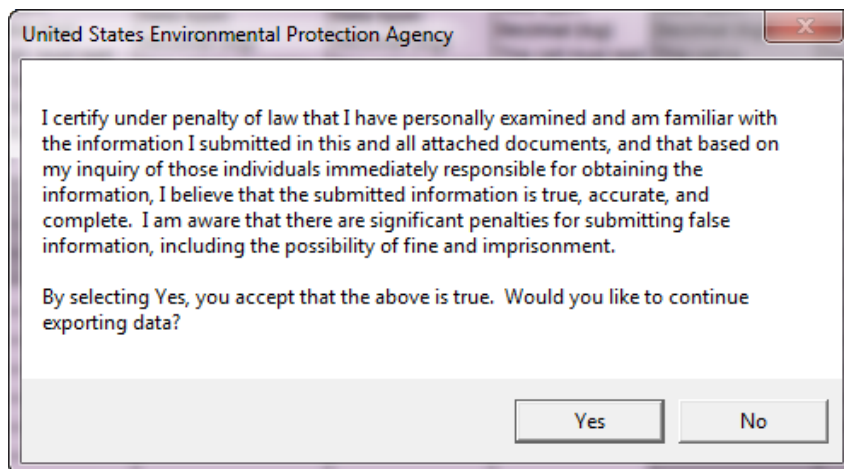
Step 3: Prepare Submission for Export from Excel to CSV.

- EPA requires that you submit two versions of the completed form to EPA:
 - **CSV Format:** CSV stands for comma separated variables. Your data must be exported into this format in order to be uploaded into EPA’s tracking system.
 - **Excel Format:** EPA also asks that you save and submit your Microsoft Excel file. EPA is required to maintain a record of the Microsoft Excel. If you do not submit a copy of the report in an Excel format, your submission will be considered incomplete and you will be required to resubmit through CDX.
- Once you have completed entering data into the report, select the “Prepare for Submission (Export Data)” button in the final section of the form.



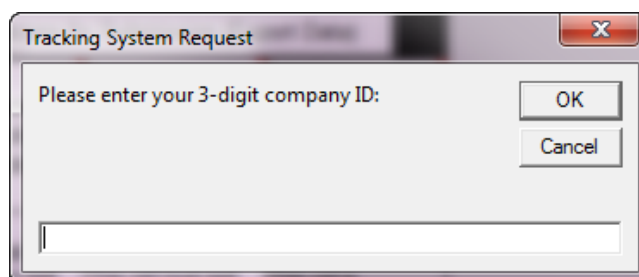
Step 4: Certify that your data is complete and accurate.

- After clicking the “Prepare for Submission (Export Data)” button, you will be prompted to certify that your data has been entered correctly. Please review your data to make certain all data is complete and accurate.



Step 5: Enter your three-digit Company ID.

- The three-digit company ID is a unique number used to identify individual reporting companies. The three-digit company ID is assigned by EPA following registration.
- Contact Mike James at (202) 343-9192 if you have not yet been assigned or forget your company ID.



Step 6: Save the CSV Files to your Computer.

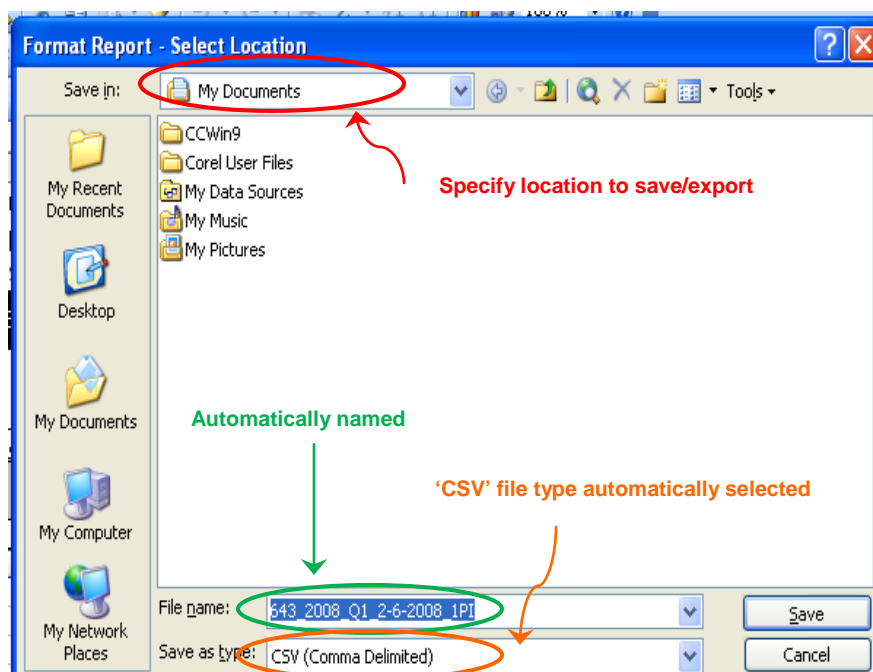
- After entering your company ID, you will be prompted to specify a location to save/export the file(s). The CSV files should be saved in the same location as the Excel version of the file (if already saved). **Remember to note the location of the file(s) you 'export/save' for future reference; you will need to specify this location later during the submission process (see Part 3 of the guidance).**

Important!

The following e-reporting forms generate **two** CSV files:

- Class I and Class II Importer Forms
- Class I and Class II Exporter Forms
- Class I Laboratory Supplier Form
- Class II Request for Additional Consumption Allowances Form

- **Do Not Change the File Name or File Type**
 - The file(s) will be automatically saved as a 'CSV' file. The file must maintain its '.CSV' identity to be accepted by EPA's tracking system.
 - Similarly, the file name will be generated automatically. Please note the file name but do not make any changes to it. The file is named according to specific parameters. Please see the "Protocol for File Naming" on the following page for an explanation of the automatically assigned file names.



Step 7: Modifying your Submission (optional).

- **If you need to edit your submission after the data has been exported, do not make these changes directly in the CSV files!** Instead, you will need to open the Excel file, make your edits, and then repeat the export process.

Protocol for File Naming

Each spreadsheet must be saved as a separate CSV file and named according to certain conventions in order for EPA's tracking system to recognize it upon submission. Each report file name contains the following five pieces of information, separated by an underscore (_).

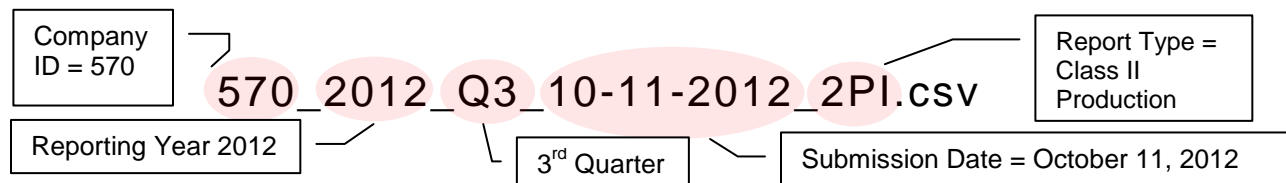
- **Company ID:** your company's three-digit ID number, as assigned by EPA.
- **Year:** the four-digit reporting year
- **Quarter:** a two-character quarter code, comprised of the letter 'Q' and the quarter number 1 – 4 (e.g., 'Q3'). For annual reports or for the Request for Additional Consumption Allowances report that is used on a need-only basis, the code '0' is used (e.g., 'Q0').
- **Date of Submission:** formatted as mm-dd-yyyy.
- **Submission Code:** a three-character code indicating the report type. The report types and corresponding submission codes are presented in Table 1.

Table 1: Report Types and Submission Codes

Report Type	Code
<i>Class I Substances</i>	
Producer Report	1PI
Importer Report	1IX
Importer Totals	1IT
Exporter Report	1EX
Exporter Totals	1ET
Laboratory Supplier Amounts Purchased/Received	1LP
Laboratory Supplier Amounts Supplied	1LS
<i>Class II Substances</i>	
Producer Report	2PI
Importer Report	2IX
Importer Totals	2IT
Exporter Report	2EX
Exporter Totals	2ET
Request for Additional Consumption Allowances Report	2RX
Request for Additional Consumption Allowances Totals	2RT

Example:

Company A, Company ID No. 570, is submitting a Class II Production file on October 11, 2012 for quarter 3 of reporting year 2012. The appropriate file name is: 570_2012_Q3_10-11-2012_2PI.csv



Step 8: Save an Excel Version of the Report.

- After saving the file in CSV format, save the file as a Microsoft Excel document in the same folder as the CSV files, if not previously saved. The Excel version of the report does not need to conform to any naming conventions.

Step 9: Compile and Save Supporting Documentation in Same Location.

- Any additional documentation that must be submitted along with the ODS reports (e.g., verification of intent to destroy material, bills of lading, invoices, etc.) should be scanned and saved in the same folder as the CSV and Excel files.

- Although documentation may be printed and submitted in hard-copy, it is preferred that attachments to e-Reports are submitted electronically. Please scan all attachments together and save them as a PDF file. See **Appendix A** for a checklist of necessary documentation.

Step 10: Review Files to Confirm the Submission is Complete.

- For each form that you submit electronically, the submission package will consist of three parts:
 1. CSV file(s)
 2. Microsoft Excel file(s)
 3. Attachments (if applicable)

CONGRATULATIONS!

You have properly prepared and saved reporting data to your computer. You are now ready to submit your data files to EPA. See Part 3 of the guidance for detailed steps on how to zip, encrypt, and submit your files to EPA using CDX.

Appendix A: Additional Submission Requirements

Depending on the data reported, additional documentation may be required to verify the information. For each electronic report, a checklist is provided to help ensure that all necessary documents are included with your submission. If supplementary documents are not submitted, your submission will be considered incomplete. Please note that these requirements are the same documentation requirements that pertain to paper reporting.

The information that follows is organized by report and then by transaction or allowance type. Information on all reporting requirements can be found at 40 CFR Part 82, Subpart A.

A checklist is provided for the following reports:

- **Class I Producer Report**
- **Class I Importer Report**
- **Class I Exporter Report**
- **Class II Producer Report**
- **Class II Importer Report**
- **Class II Exporter Report**
- **Class II Request for Additional Consumption Allowances Report**

NOTE: Only the reports, transaction types, and allowance types that require accompanying documentation are listed. For those not listed, the reporting form submittal is sufficient.

Class I Producer Quarterly Report

The following materials should accompany the Class I producer quarterly report (form 5900-151), as required by 40 CFR 82.13, if the following activities are reported.

Production for Transformation		
<input type="checkbox"/>	A copy of an IRS certification of intent to transform the class I substance for a particular transformer.	§82.13(f)(3)(vii)
<input type="checkbox"/>	A list of quantities shipped to that transformer for the quarter.	§82.13(f)(3)(vii)
Production for Destruction		
<input type="checkbox"/>	A copy of a destruction verification for a particular destroyer.	§82.13(f)(3)(viii)
<input type="checkbox"/>	A list of quantities shipped to that destroyer for the quarter.	§82.13(f)(3)(viii)
Production for Essential Use		
<input type="checkbox"/>	A list of the essential-use allowance holders from whom orders were placed and the quantity of specific essential-use class I substances requested and produced.	§82.13(f)(3)(x)
<input type="checkbox"/>	Certifications from essential-use allowance holders stating that the class I substances were purchased solely for specified essential uses and will not be resold or used in any other manufacturing process.	§82.13(f)(3)(xi)
Production for Laboratory Use		
<input type="checkbox"/>	Certifications from distributors of laboratory supplies that class I substances were purchased for sale to laboratory customers who certify that the substances will only be used for essential laboratory and analytical uses, and will not be resold or used in manufacturing; or, if sales are made directly to laboratories, certifications from laboratories that the class I substances will only be used for essential laboratory and analytical uses and will not be resold or used in manufacturing.	§82.13(f)(3)(xii)

Class I Importer Quarterly Report

The following materials should accompany the Class I importer quarterly report (form 5900-150), as required by 40 CFR 82.13, if the following activities are reported.

Import for Transformation		
<input type="checkbox"/>	Internal Revenue Service Certificates showing that the purchaser or recipient of imported class I substances intends to transform those substances. For each purchaser, <i>only one copy</i> of the certification should be provided as long as subsequent quantities shipped to that company are listed in each quarterly report. (Submit the certificate of intent to use the substance as a feedstock with the first sale to a company and list subsequent quantities sold to that company.)	§82.13(g)(4) (xii)
Import for Destruction		
<input type="checkbox"/>	Destruction verifications showing that the purchaser or recipient intends to destroy the class I substances.	§82.13(g)(4) (xii)
Import for Essential Use		
<input type="checkbox"/>	Certifications from essential-use allowance holders stating that the class I substances were purchased solely for specified essential uses and will not be resold or used in any other manufacturing process.	§82.13(g)(4) (xiii)
Import for Laboratory Use		
<input type="checkbox"/>	Certifications from distributors of laboratory supplies that the class I substances were purchased solely for eventual sale to laboratories that certify the class I substances are for essential laboratory and analytical uses, or if sales are made directly to laboratories, certifications from laboratories that the class I substances will only be used for essential laboratory and analytical uses and will not be resold or used in manufacturing.	§82.13(g)(4) (xiii)(xiv)
Import of Heels		
<input type="checkbox"/>	Certification that the residual amount in each shipment is less than 10 percent of the volume of the container.	§82.13(p)
<input type="checkbox"/>	Final disposition of the heel within 45 days of the end of the control period.	§82.13(q)

Class I Exporter Annual Report

The following materials should accompany the Class I exporter annual report (form 5900-149), as required by 40 CFR 82.13, if the following activities are reported.

Export for Transformation		
<input type="checkbox"/>	Invoice or sales agreement containing language similar to the Internal Revenue Service Certificate that the purchaser or recipient of imported class I substances intends to transform those substances.	§82.13(h)(1)(viii)
Export for Destruction		
<input type="checkbox"/>	Destruction verifications showing that the purchaser or recipient intends to destroy the class I substances.	§82.13(h)(1)(viii)

Class II Producer Quarterly Report

The following documents should accompany the Class II producer quarterly report (form 5900-202), as required by 40 CFR 82.24, if the following activities are reported.

Production for Transformation		
<input type="checkbox"/>	A copy of a transformation verification from the transformer for a specific class II substance(s).	§82.24(b)(1)(vii)
<input type="checkbox"/>	A list of quantities shipped to that transformer.	§82.24(b)(1)(vii)
Production for Destruction		
<input type="checkbox"/>	A copy of a destruction verification for a particular destroyer.	§82.24(b)(1)(viii)
<input type="checkbox"/>	A list of quantities shipped to that destroyer.	§82.24(b)(1)(viii)
Production with Article 5 Allowances		
<input type="checkbox"/>	A list of U.S. entities that purchased class II substance(s) using Article 5 allowances and exported them to Article 5 countries.	§82.24(b)(1)(x)

Class II Importer Quarterly Report

The following documents should accompany the Class I importer quarterly report (form 5900-200), as required by 40 CFR 82.24, if the following activities are reported.

Import for Transformation		
<input type="checkbox"/>	A copy of each transformation verification showing that the purchaser or recipient of the imported class II substance(s) intends to transform those substance(s).	§82.24(c)(1)(ix)
Import for Destruction		
<input type="checkbox"/>	A copy of each destruction verification showing that the purchaser or recipient of the imported class II substance(s) intends to destroy those substance(s).	§82.24(c)(1)(ix)
Import of Heels		
<input type="checkbox"/>	Certification that the residual amount in each shipment is less than 10 percent of the volume of the container.	§82.24(f)(2)(i)
<input type="checkbox"/>	Final disposition of the heel within 45 days of the end of the control period.	§82.24(f)(3)

Class II Exporter Quarterly Report

The following documents should accompany the Class II exporter quarterly report (Form 5900-199), as required by 40 CFR 82.24, if the following activities are reported.

Export for Transformation		
<input type="checkbox"/>	The invoice or sales agreement containing language similar to the transformation verifications that the purchaser or recipient intends to transform those substances.	§82.24(d)(1)(viii)
Export for Destruction		
<input type="checkbox"/>	The invoice or sales agreement containing language similar to the destruction verifications that the purchaser or recipient intends to destroy those substances.	§82.24(d)(1)(viii)

Information to Submit with the Class II Request for Additional Consumption Allowances Report

The following documents should accompany the Class II request for additional consumption allowances report (form 5900-201), as required by 40 CFR 82.20.

All Reports		
<input type="checkbox"/>	A copy of the bill of lading and the invoice indicating the net quantity (in kilograms) of class II controlled substances shipped and documenting the sale of the class II controlled substances to the purchaser.	§82.20(a)(1)(viii)
<input type="checkbox"/>	A written statement from the producer that the class II controlled substances were produced with expended allowances or a written statement from the importer that the class II controlled substances were imported with expended allowances.	§82.20(a)(1)(x)