

GUIDELINES

Electronic Reporting for Ozone-Depleting Substances

Part 2: Prepare Data for Submission

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Contents

Contents.....	3
Overview	4
I. Prepare Data for Submission	5
Step One: Access the Electronic Form and Enter your Data.....	5
Step Two: Save (“Export”) File to Your Computer.....	7
Appendix A	
Accompanying Information to Submit with the Class I Producer Quarterly Report ...	A-2
Accompanying Information to Submit with the Class I Importer Quarterly Report	A-3
Accompanying Information to Submit with the Class I Exporter Annual Report and A5 Exporter Quarterly Report	A-4
Accompanying Information to Submit with the Class II Producer Quarterly Report ..	A-5
Accompanying Information to Submit with the Class II Importer Quarterly Report ...	A-6
Accompanying Information to Submit with the Class II Exporter Quarterly Report ...	A-7

Overview

This document, **Prepare Data for Submission**, is the second part of a comprehensive Three-Part Guidance Document developed to assist you in submitting your ODS data electronically. In its entirety, the Three-Part Guidance Document provides step-by-step instructions to:

1. Register as a CDX User
- 2. Prepare Data for Submission, and**
3. Submit ODS Data to EPA.

Part 1 of the guidance walks you through the steps of registering as a CDX user and setting up your system for ODSTS e-Reporting. This is a one-time registration process that you will need to complete the first time you submit your data electronically. **This is Part 2 of the guidance document, which assists you in preparing your data for submission.** Part 3 guides you through the process of zipping, encrypting, and sending your files to EPA using CDX.

Part 2 of this guidance involves two steps—1) accessing the reporting form(s) and entering your data and 2) saving (“Export”) the completed reporting form(s) to your computer. You can save your work on entering data into the reporting forms onto your computer and return to it as many times as needed. When data entry is considered complete, you will proceed to step 2 to properly save, or “export,” the completed forms(s) into the appropriate files for delivery to EPA.

The remainder of this document discusses each of these major steps in further detail.

I. Prepare Data for Submission

In this section, you will enter your data into electronic reporting forms and then save the forms to your computer. EPA has developed the electronic reporting forms in Microsoft Excel. The files that you create will be uploaded to CDX and then imported to EPA's tracking system. Therefore, you should be careful not alter the format of the reporting forms so that your submission will be compatible with EPA's tracking system.

If your company has no activities to report for a specific quarter, please submit a fax or email to Mike James (fax # 202-343-2336/email: james.mike@epa.gov) stating that there has been no activity. If a company fails to report, EPA is unable to determine whether that is an indication of zero production/import/export or if an entity's report was not received.

Step One: Access the Electronic Form(s) and Enter your Data

- You can access and download the electronic reporting forms from EPA's web site at: <http://www.epa.gov/ozone/record/index.html> Any news or updates on electronic reporting can also be found at this site.
- There is a separate Excel file for each of the 6 forms that can be submitted electronically.



Important!

The electronic reporting forms were created using Microsoft Excel® 2003. They 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.

- Each reporting form contains a number of tabs. For example, the Class I Producers form contains 4 tabs.

- There is a tab on each form called “Data Lists.” You can view the information on this tab, but you should not make any changes to this tab.
- Enter your data. You can view a more detailed explanation of each data field by scrolling over the column headings and reading comments indicated by red flags.
- 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.)

- You must move to the next section of the form by clicking the labeled button that will direct you to the next section. For example, on the Class I Producers form, you can move from Section 1 to Section 2 by clicking on the “Proceed to Section 2” button.

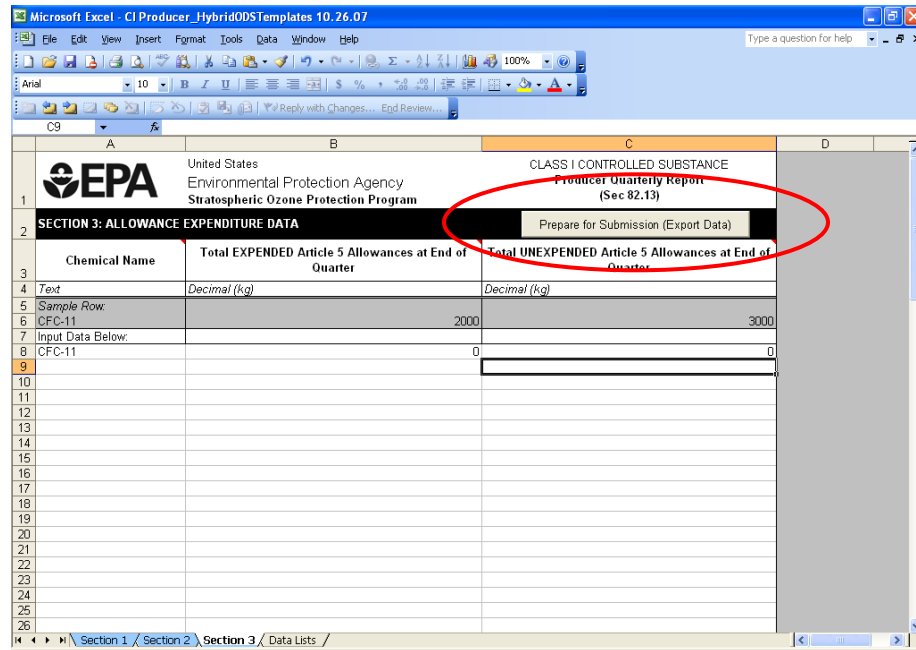
The screenshot shows a Microsoft Excel spreadsheet with a form embedded in it. The form is for the EPA Class I Controlled Substance Producer Quarterly Report (IPI). The form is titled "United States Environmental Protection Agency CLASS I CONTROLLED SUBSTANCE Producer Quarterly Report (IPI) Stratospheric Ozone Protection Program (Sec 82.13)". The form is divided into sections: SECTION 1 PRODUCING COMPANY IDENTIFICATION, SECTION 2, and SECTION 3. The "SUBMISSION:" section contains instructions and a button labeled "Proceed to Section 2" which is circled in red.

- You can save your work on entering data into the reporting forms onto your computer and return to it as many times as needed. If you add more information on a certain section, remember to proceed to the subsequent section(s) using the buttons (not the worksheet tabs), in order to activate the automated features of the forms.

Step Two: Save (“Export”) Completed Forms(s) to Your Computer

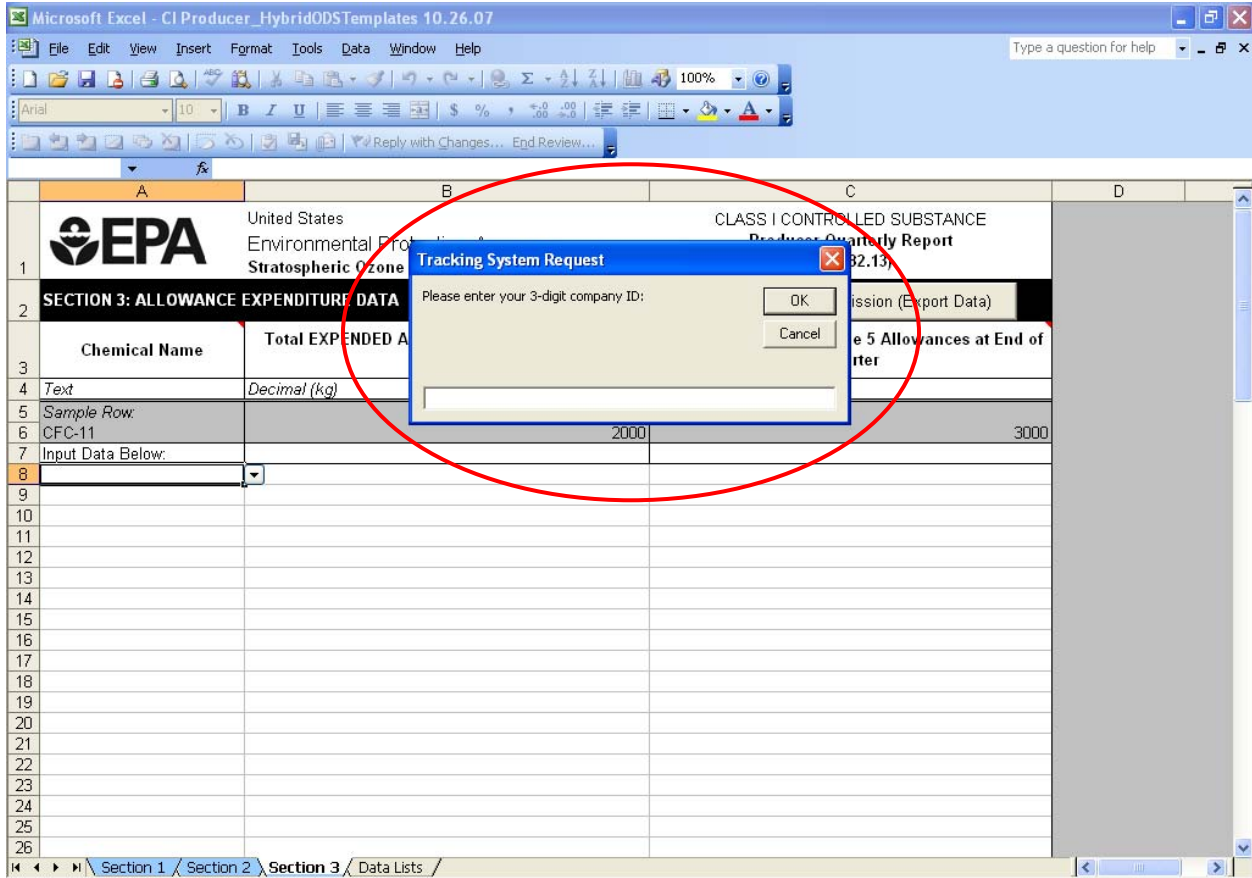
- EPA requires that you submit two versions of the completed form to EPA:
 - CSV Format** – CSV stands for comma separated variables. Your Excel file must be translated into this format so that it can be uploaded into EPA’s tracking system.
 - Excel Format** – EPA also asks that you save and submit your Microsoft Excel file. If there is an error uploading your data into the EPA tracking system, EPA will use the Excel file to locate the errors.

- Make sure that your entries are **complete** before you begin the process of exporting the files. **If you need to make a change to your submission after the files is exported, you will not be able to make these changes directly to the CSV files!** You will need to return to the Excel files, make your edits, and then repeat the export process.
- On the final Section of each form, there is a “Prepare for Submission (Export Data)” button.



- After clicking the “Prepare for Submission (Export Data)” button, the form may prompt you to check certain areas of the form to ensure that your data has been entered correctly. Please review your data to make certain these sections are correct.

- You will then be prompted to input your **3-digit Company ID**. You can contact EPA's Mike James to obtain your Company ID number (see page 2 for contact information).

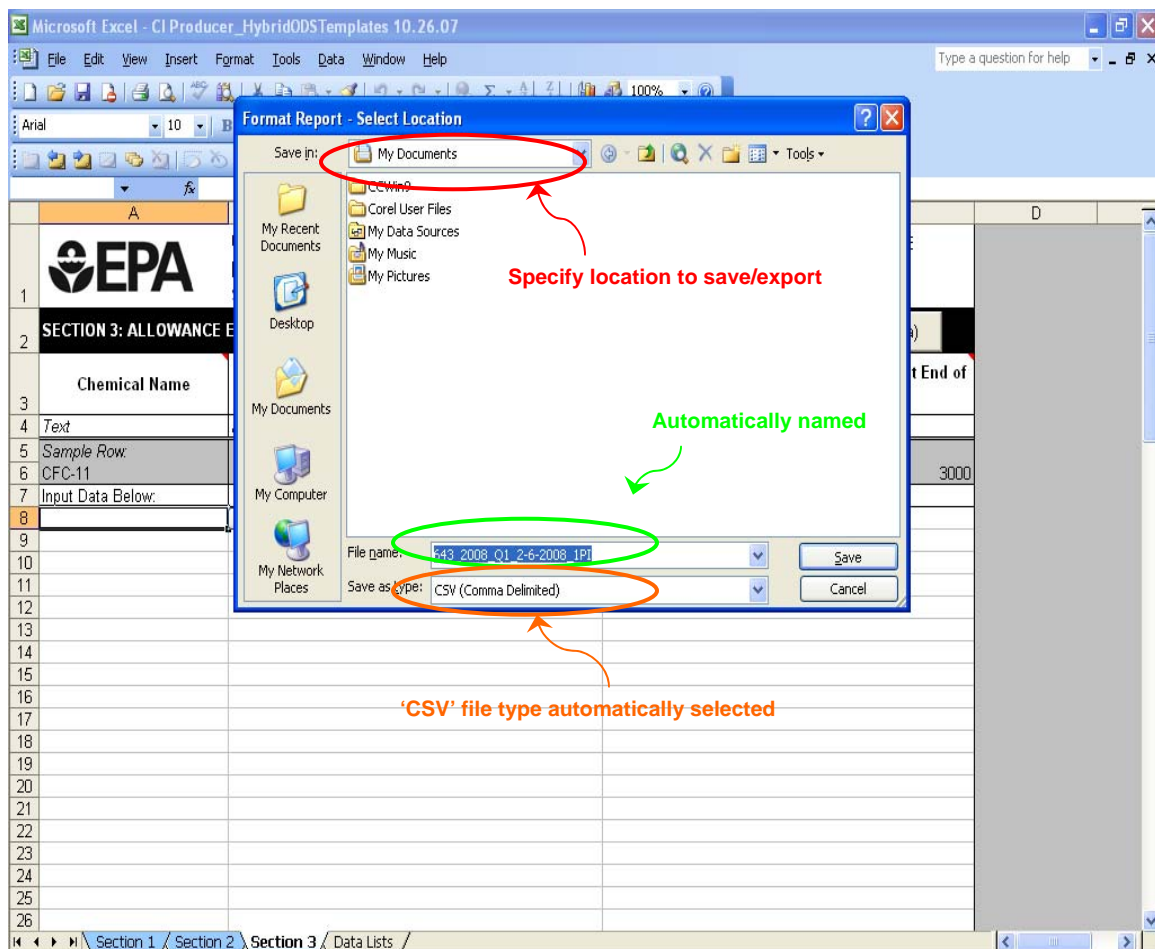


- Next, you will be prompted to specify a location to save/export the file on your computer. **Remember to note the location of the file(s) you ‘export/save’ for future reference; you will need to specify this location later during the submittal process.**

Important!

Some forms may generate two CSV files such as the Class I and Class II importers and exporters forms.

- The file will be automatically saved as a ‘CSV’ file. Do not change this designation. The file must maintain its ‘CSV’ identity to be accepted by the electronic reporting tracking system.



- 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 Box 1, "File Naming," for an explanation of the automatically assigned file names.

Box 1: File Naming

Each spreadsheet must be saved as a separate CSV file and named according to certain conventions in order for EPA's system to recognize it upon submission.

Each report file name contains the following five pieces of information, separated by an underscore (_).

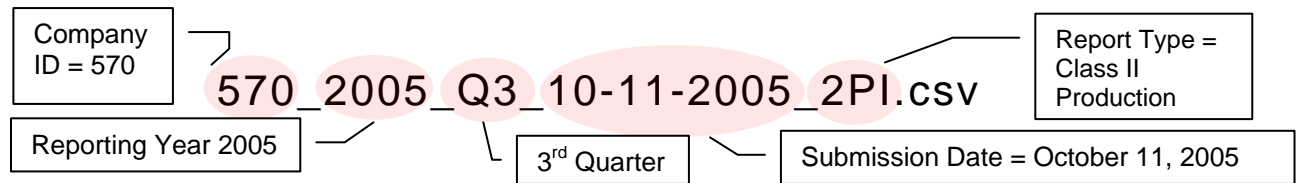
- **Company ID:** your company's three-digit ID number, which is assigned by EPA's Tracking System Program Manager (TSPM).
- **Year:** the four-digit reporting year
- **Quarter:** a two-character quarter code, comprised of the letter 'Q' and the quarter number 1 – 4 (e.g., 'Q3'). For annual reports, use the code '0' (e.g., 'Q0').
- **Date of Submission:** formatted as mm-dd-yyyy.
- **Submission Code:** a three-character code indicating reporting type. The reporting types and corresponding submission codes are presented in Table 1.

Table 1: Report Types and Submission Codes Needed to Properly Name Files

Report Type	Code
<i>Class I Substances</i>	
Producer Report	1PI
Importer Report	1IX
Importer Totals	1IT
Exporter Report	1EX
Exporter Totals	1ET
<i>Class II Substances</i>	
Producer Report	2PI
Importer Report	2IX
Importer Totals	2IT
Exporter Report	2EX
Exporter Totals	2ET

Example:

Company A, Company ID No. 570, is submitting a Class II Production file on October 11, 2005 for quarter 3 of reporting year 2005. The appropriate file name is: 570_2005_Q3_10-11-2005_2PI.csv



- After saving the file in CSV format, save the file as a Microsoft Excel document. Since EPA does not upload the Microsoft Excel files into its database, these files do not need to conform to any naming conventions.
- Also, remember to scan and save any additional documentation that is required to be submitted with quarterly reports (e.g., bills of lading, invoices, etc.) See **Appendix A** for a checklist of necessary documentation.
- For each form that you submit electronically, the submission package will consist of 3 parts:
 1. CSV file(s)
 2. Microsoft Excel file(s)
 3. Attachments

CONGRATULATIONS!

You have properly prepared and saved reporting data to your computer. You are now ready to submit your data files to EPA. Part 3 of the Guidance will take you step-by-step through the process of zipping, encrypting, and sending your files to EPA using CDX.

Appendix A : ADDITIONAL REQUIRED SUBMISSIONS

Appendix A provides checklists to help you ensuring all necessary documents are included with your submission. Please note that these are the same documentation requirements that pertain to paper reporting.

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

NOTE: Only those transaction or allowance types that require accompanying information are listed in the checklists. For those not listed, the reporting form submittal is sufficient.

Checklists for the following reporters are provided:

Class I Producers
Class I Importers
Class I Exporters

Class II Producers
Class II Importers
Class II Exporters

APPENDIX A: ADDITIONAL REQUIRED SUBMISSIONS

Information to Submit with the Class I Producer Quarterly Report

The following materials should accompany the Producer Quarterly Report (Form 1432.22-P) as required by 40 CFR 82.13 (f)(3)(4).

Transformation:

- One copy of an IRS certification of intent to transform the same class I substance for a particular transformer. §82.13(f)(3)(vii)
- A list of additional quantities shipped to that same transformer for the quarter. §82.13(f)(3)(vii)

Destruction:

- One copy of a destruction verification (as under §82.13(k)) for a particular destroyer, destroying the same class I substance. §82.13(f)(3)(viii)
- A list of additional quantities shipped to that same destroyer for the quarter. §82.13(f)(3)(viii)

Article 5 Allowances:

- A list of U.S. purchasers of class I substances that exported to an Article 5 country when A5 allowances were expended during production. §82.13(f)(3)(ix)

Essential-Use Allowances:

- A list of the essential-use allowance holders, distributors of laboratory supplies and laboratory customers from whom orders were placed and the quantity of specific essential-use class I substances requested and produced. §82.13(f)(3)(x)
- 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)

Laboratory Essential Use Allowances:

- 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)

APPENDIX A: ADDITIONAL REQUIRED SUBMISSIONS

Information to Submit with the Class I Importer Quarterly Report

The following materials should accompany the Importer Quarterly Report (Form 1432.22-I) as required by 40 CFR 82.13 (g)(4) and (o)-(q).

Transformation:

- Internal Revenue Service Certificates showing that the purchaser or recipient of imported class I substances intends to transform those substances. For each purchaser, *only one copy* 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)

Destruction:

- Destruction verifications showing that the purchaser or recipient intends to destroy the class I substances. §82.13(g)(4)(xii)

Essential-Use Allowances:

- 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 manufacturing. §82.13(g)(4)(xiii)

Laboratory Essential Use Allowances:

- 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)

Heels:

- Certification that the residual amount in each shipment is less than 10 percent of the volume of the container. §82.13(p)
- Final disposition of the heel within 45 days of the end of the control period. §82.13(q)

APPENDIX A: ADDITIONAL REQUIRED SUBMISSIONS

Information to Submit with the Class I Exporter Annual Report and A5 Exporter Quarterly Report

The following reporting requirements should accompany the Exporter Annual Report and A5 Exporter Quarterly Report (Form 1432.22-E) as required by 40 CFR 82.13 (h), 40 CFR 82.13 (f)(3)(vi and ix), and 40 CFR 82.11(a).

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) |
|---|--------------------|

Destruction:

- | | |
|---|--------------------|
| <input type="checkbox"/> Destruction verifications showing that the purchaser or recipient intends to destroy the class I substances. | §82.13(h)(1)(viii) |
|---|--------------------|

Article 5 Allowances:

- | | |
|---|-------------------|
| <input type="checkbox"/> A copy of the bill of lading and invoice indicating the net quantity shipped and documenting the sale of the controlled substances to the Article 5 purchaser | §82.11(a)(1)(vii) |
| <input type="checkbox"/> A copy of the invoice or sales agreement covering the sale of the controlled substances to the recipient Article 5 country that contains provisions forbidding the re-export of the controlled substance in bulk form and subjecting the recipient or any transferee of the recipient to liquidated damages equal to the resale price of the controlled substances if they are re-exported in bulk form. | §82.11(a)(1)(ix) |

APPENDIX A: ADDITIONAL REQUIRED SUBMISSIONS

Information to Submit with the Class II Producer Quarterly Report

The following documents should accompany the Producer Quarterly Report (Form 2014.02-P) as required by 40 CFR 82.24(b)(1).

Transformation:

- One copy of a transformation verification from the transformer for a specific class II substance(s). §82.24(b)(1)(vii)
- A list of additional quantities shipped to that same transformer. §82.24(b)(1)(vii)

Destruction:

- One copy of a destruction verification for a particular destroyer, destroying the same class II substance(s). §82.24(b)(1)(viii)
- A list of additional quantities shipped to that same destroyer. §82.24(b)(1)(viii)

Export Production Allowances:

- A list of U.S. entities that purchased class II substance(s) produced using export production allowances and exported them to a Party to the Protocol. §82.24(b)(1)(ix)

Article 5 Allowances:

- 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)

APPENDIX A: ADDITIONAL REQUIRED SUBMISSIONS

Information to Submit with the Class II Importer Quarterly Report

The following documents should accompany the Importer Quarterly Report (Form 2014.02-I) as required by 40 CFR 82.24(c)(1) and (f).

Transformation:

- One 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)

Destruction:

- One 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)

Heels:

- Certification that the residual amount in each shipment is less than 10 percent of the volume of the container. §82.24(f)(2)(i)
- Final disposition of the heel within 45 days of the end of the control period. §82.24(f)(3)

APPENDIX A: ADDITIONAL REQUIRED SUBMISSIONS

Information to Submit with the Class II Exporter Quarterly Report

The following documents should accompany the Exporter Quarterly Report (Form 2014.02-E) as required by 40 CFR82.24(d) and 40 CFR82.24(b)(1)(vi).

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) |
|--|--------------------|

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) |
|---|--------------------|