

# STRATOSPHERE ON AIR

ODS Electronic Reporting System Webcast

**U.S. EPA**  
**Stratospheric Protection Division**  
**March 19 & 27, 2008**



# Agenda

## 1. BACKGROUND & OVERVIEW

- Purpose and Goals
- Gradual Roll-Out and Pilot

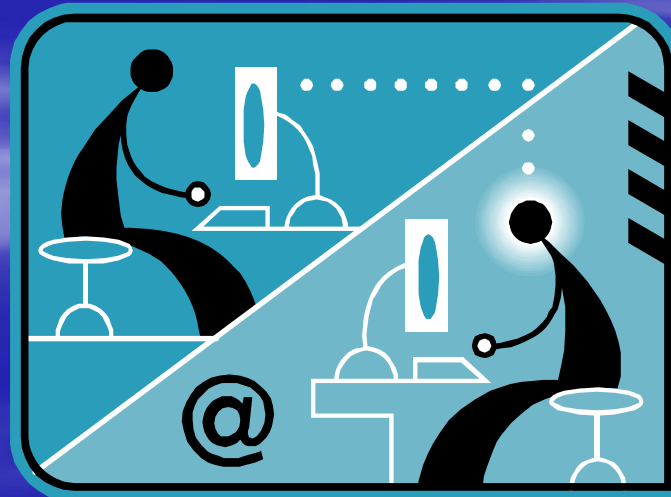
## 2. HOW DOES E-REPORTING WORK?

- 3-Part Guidance
- Electronic Forms
- Demo

## 3. Q&A

# Purpose & Goals?

1. Improve efficiency of reporting
2. Improve reliability of data
3. Improve data security



# Gradual Roll-out & Pilot

- EPA is gradually introducing e-reporting to stakeholders
  - Currently 6 Electronic Forms
  - Class I (excluding MeBr) Producer, Importer, Exporter
  - Class II Producer, Importer, Exporter
- Plan to introduce additional electronic forms
- Pilot scale version of electronic reporting launched in 2006
- 5 companies participated
  - Tested the forms with real data
  - Identified and resolved technical problems
  - Ensured a user-friendly electronic reporting system

# Electronic Reporting – Some Key Concepts

- Central Data Exchange (CDX)
  - CDX is EPA's main portal for receiving electronic data
  - Each user registers with CDX
- Data encryption
  - Confidential data will be protected
    - Encryption performed by a CDX JAVA Applet on the Client Machine Prior to Submission
    - File Remains Encrypted Until Processed at EPA
  - Each user registers for digital signature

# How Does the Process Work?

## You will:

- Prepare data using electronic reporting forms
- Save files to PC
- Scan supporting documentation into electronic form
- Zip all necessary files for submission
- Log onto CDX
- Encrypt
- Send to EPA via CDX

## EPA will:

- Decrypt your data
- Download data into EPA's ODS tracking system
- Review supporting documentation



# Guidance Document – 3 Parts

- 3 Main Steps:
  - Part 1 - Registering with CDX and obtaining your digital signature
  - Part 2 - Preparing Data for Submission
  - Part 3 - Submitting Data to EPA Via CDX



# Part 1 – Registering for CDX and Obtaining Your Digital Signature

- One time registration
- Detailed Step-by-Step Guidance
  - 1) Register for CDX access
    - Takes about 20 minutes or less
  - 2) Apply for a digital signature
    - Print, sign agreement to obtain digital signature
    - Submit by fax and mail
    - Wait 48 hours for CDX Helpdesk to process and verify
    - Receive an e-mail and instructions for downloading your digital signature
  - 3) **Questions?** Call the CDX Helpdesk at 1-888-890-1995



# Part 2 – Preparing Data for Submission

- 6 separate electronic forms
  - Class I Producers
  - Class I Importers
  - Class I Exporters
  - Class II Producers
  - Class II Importers
  - Class II Exporters

The screenshot shows a web browser window displaying the EPA's online reporting form. The form is titled "CLASS I CONTROLLED SUBSTANCE Environmental Protection Agency Producer Quarterly Report (IPI) Stratospheric Ozone Protection Program (Sec 82.13)". It is currently on "SECTION 1 PRODUCING COMPANY IDENTIFICATION".

Section 1.1 "Date of Submission" includes a date input field and radio buttons for "Original Submittal" (selected) and "Re-submittal".

Section 1.3 "Quarter and Year to Which This Report Applies" includes a "Year:" field and radio buttons for "1<sup>st</sup>", "2<sup>nd</sup>", "3<sup>rd</sup>", and "4<sup>th</sup>".

Section 1.4 "Importer Information" includes two questions with "Yes/No" radio buttons:  
"Is your company an Importer of class I substances?"  
"If yes, is the Importer Quarterly Report attached?"

Section 1.5 "Exporter Information" includes two questions with "Yes/No" radio buttons:  
"Is your company an Exporter of class I substances?"  
"If yes, is the Exporter Quarterly Report attached?"

The "SUBMISSION:" section contains instructions: "Click 'Proceed to Section 2' to continue completing this form. After you complete Section 2, please click 'Proceed to Section 3.' Upon completing Section 3, please click 'Prepare for Submission (Export Data).'" and a "Proceed to Section 2" button. It also provides a URL for reporting guidance: <http://www.epa.gov/ozone/record/>.

Footnote text at the bottom of the form discusses confidentiality and reporting burden.

# Part 2 – Preparing Data (cont)

- Electronic forms are in Excel
- Separate “tabs” for each part of the form
- Use “proceed to next section” buttons to navigate from tab to tab
- Some auto-calculations

United States  
CLASS I CONTROLLED SUBSTANCE  
EPA Environmental Protection Agency  
Stratospheric Ozone Protection Program  
Producer Quarterly Report (1PI)  
(Sec 82.13)

**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: \_\_\_\_\_  1<sup>st</sup>  2<sup>nd</sup>  3<sup>rd</sup>  4<sup>th</sup>

1.4 Importer Information  
Is your company an Importer of class I substances?  Yes  No  
If yes, is the Importer Quarterly Report attached?  Yes  No

1.5 Exporter Information  
Is your company an Exporter of class I substances?  Yes  No  
If yes, is the Exporter Quarterly Report attached?  Yes  No

**SUBMISSION:**

Click "Proceed to Section 2" to continue completing this form. After you complete Section 2, please click "Proceed to Section 3." Upon completing Section 3, 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

Information in reports submitted in compliance with the final rule may be claimed as confidential. A company may assert a claim of confidentiality for information submitted by clearly marking that information as confidential. Such information shall be treated in accordance with EPA's procedures for information claimed as confidential at 40 CFR Part 2, Subpart B, and will only be disclosed by the means set forth in the subpart. If no claim of confidentiality accompanies the report when it is received by EPA, it may be made public without further notice to the company (40 CFR 2.203).

The public reporting and recordkeeping burden for this collection of information is estimated to average 7 hours per response. Send comments on the Agency's need for this information, the accuracy of the reported data, and any suggested methods for minimizing recordkeeping burden, including through the

Section 1 / Section 2 / Section 3 / Data Lists

# Part 2 – Preparing Data (cont)

## Saving Process

You will save and send your files in two formats:

1. CSV Format (comma separated variables)
  - Excel file automatically translated to CSV format for automatic upload to EPA's tracking system
2. Excel Format
  - “Human-readable” spreadsheet if checking or verification needed

# Part 2 – Preparing Data (cont)

## Saving Process

- Be sure all entries are complete
- Click “Prepare for Submission” button
  - Prompts creation of CSV file
    - Some forms will create 2 CSV files
  - May prompt you to check data entries again
  - You will need your 3 digit company ID – call Mike James

The screenshot shows a Microsoft Excel spreadsheet titled 'CI Producer\_HybridODSTemplates 10-24-07'. The spreadsheet is a form for the 'CLASS I CONTROLLED SUBSTANCE' 'Quarterly Report (Sec 82.13)'. The form is organized into sections. Section 3, 'ALLOWANCE EXPENDITURE DATA', is highlighted in black. Within this section, there are three columns: 'Chemical Name', 'Total EXPENDED Article 5 Allowances at End of Quarter', and 'Total UNEXPENDED Article 5 Allowances at End of Quarter'. The 'Total UNEXPENDED Article 5 Allowances at End of Quarter' column is circled in red. A button labeled 'Prepare for Submission (Export Data)' is also circled in red. The spreadsheet includes a header with the EPA logo and text: 'United States Environmental Protection Agency Stratospheric Ozone Protection Program'. The spreadsheet also includes a 'Sample Row' and 'Input Data Below' section with numerical values.

Chemical Name	Total EXPENDED Article 5 Allowances at End of Quarter	Total UNEXPENDED Article 5 Allowances at End of Quarter
Text	Decimal (kg)	Decimal (kg)
Sample Row	2000	3000
CFC-11		
Input Data Below		
CFC-11	0	0

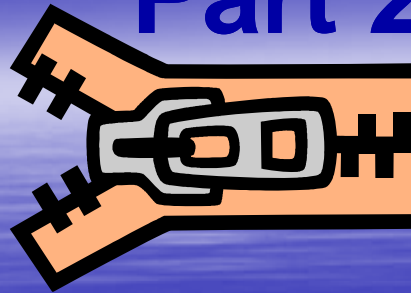
## Part 2 – Preparing Data (cont)

### Saving Process

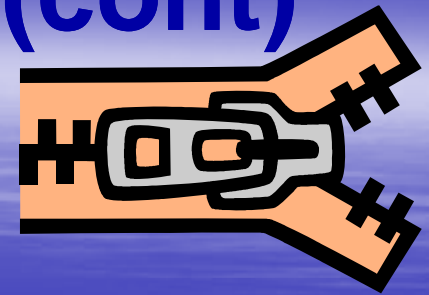
- Specify a location to save/export the file
  - Remember this location, you will need it when submitting via CDX
- Again, **DO NOT change the CSV name or designation!**
  - Must be a CSV to be accepted by EPA's tracking system

*(The Excel file does not have an automatically generated file name)*

## Part 2 – Preparing Data (cont)



### Zippering Process



- Data files must be zipped to be transmitted to EPA
- Ensure the proper files are included in ONE zip file
  - CSV file(s)
  - Microsoft Excel file(s)
  - Attachments (e.g., 2<sup>nd</sup> party transformation verification letters, bills of lading, invoices)
- Once the submission is prepared and zipped, you are ready to submit via CDX

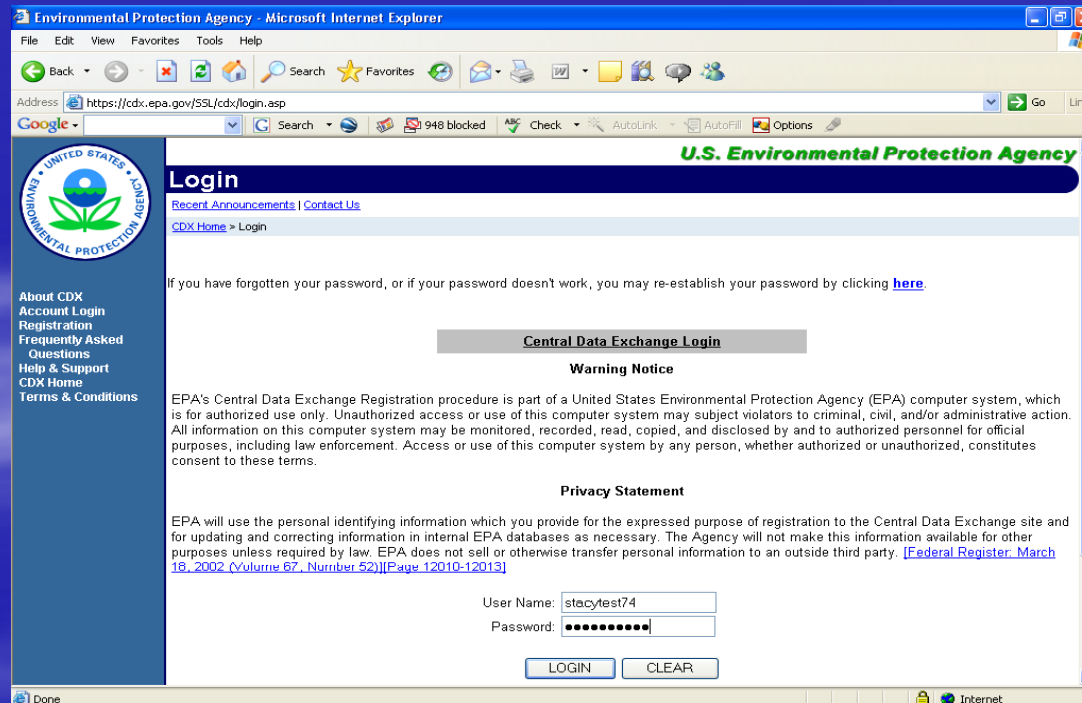


# DEMO



# Part 3 – Submitting Data to EPA Via CDX

- Login to CDX at: [cdx.epa.gov](https://cdx.epa.gov)
- Provide your username and password
- Follow step-by-step directions in guidance



The screenshot shows a Microsoft Internet Explorer browser window displaying the EPA CDX login page. The address bar shows the URL <https://cdx.epa.gov/SSL/cdx/login.asp>. The page features the EPA logo on the left and a navigation menu with links such as "About CDX", "Account Login", "Registration", "Frequently Asked Questions", "Help & Support", "CDX Home", and "Terms & Conditions". The main content area is titled "Login" and includes a "Central Data Exchange Login" button. Below this, there is a "Warning Notice" and a "Privacy Statement" section. At the bottom, there are input fields for "User Name" (containing "stacytest74") and "Password" (masked with dots), along with "LOGIN" and "CLEAR" buttons.

# Part 3 – Submitting Data to EPA Via CDX

## *Please Note*

- The first time you submit, you will be asked to:
  - Install Java 2 Runtime Environment
    - Install ODS Public Key (lets you to encrypt your data)
- If your first attempt to transfer data via CDX fails, log on to CDX and try again
  - The installation process will sometimes interrupt data transfer

# Part 3 – Submitting Data to EPA Via CDX

## *Please Note (cont)*

- After transferring your files via CDX, you will receive:
  - A confirmation statement on the screen indicating CDX has received the encrypted files
  - An e-mail indicating the file was sent successfully
- EPA has prepared a “Part 3 – Routine Submittal” Guidance (no Java 2 or Encryption Key download)

# DEMO



# A Few Reminders: Know Your Information!

- Confirm your data is complete before encryption and submission
  - CSV files; Excel files; Supporting documents
- Remember your company ID
  - If you forget your company ID, contact Mike James
- Note the file names
- Keep all passwords in a place you will remember!





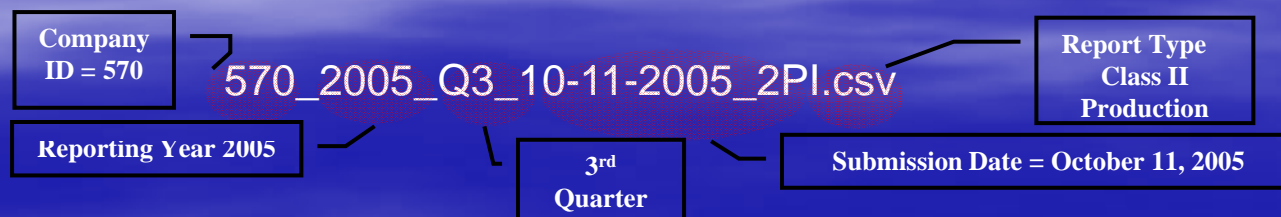
# A Few Reminders (cont)



- Reporting deadlines for electronic reports are the same as for paper forms
  - 45 days after reporting period (Class I)
  - 30 days after reporting period (Class II)
- Companies must submit paper forms for the first two submissions to ensure seamless transition to electronic reporting

# *FYI – What does that file name mean?*


- CSV file names automatically generated
  - **DO NOT** change the name
- If the file name is changed, EPA's tracking system will not be able to upload your data.
- File name contains 5 pieces of information:
  1. Company ID
  2. Year
  3. Quarter
  4. Date of Submission
  5. Submission Code



# For more information – Check EPA's web site

<http://www.epa.gov/ozone/record/ereport.html>

- Electronic forms (Excel files)
  - Class I and Class II Producers, Importers, Exporters
- Three-Part e-Reporting Guidance
- Other news!



Ozone Depletion Home

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Phaseout

Exemptions:  
Methyl bromide  
Essential uses (MDIs)  
Lab uses

Imports

Stationary Refrigeration and A/C

Auto A/C

Halons

Nonessential Products

Labeling

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Reporting

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### ODS Electronic Reporting Opportunity

In a continuing effort to improve data quality, while reducing reporting burden for our stakeholder community, EPA is pleased to offer an electronic reporting system as an alternative to the existing paper based reporting system for Ozone Depleting Substance (ODS) data. Electronic reporting can reduce time and resources spent fulfilling reporting requirements, reduce the use of paper, and improve the quality of the data.

**To participate in the electronic reporting system, you will need to register with EPA's Central Data Exchange (CDX) and obtain an electronic signature. Once you initiate registration, EPA will authenticate your account in approximately 48 hours. You can then complete electronic forms and submit them through CDX. Please see training presentation and guidance documents for a complete explanation of the electronic reporting system.**

[Training Presentation](#) (coming soon) - This presentation provides an introduction to the electronic reporting process.

**Guidance** - This comprehensive 3-Part Guidance walks you through the step by step process to register and submit your ODS data electronically.

- [Register as a CDX User \(PDF\)](#) (26 pp., 1.1 MB) - Guides you through CDX registration as well as setting up your computer for e-Reporting. You will only need to complete CDX Registration the first time you submit data electronically.
- [Prepare Data for Submission \(PDF\)](#) (19 pp., 502 kb) - Assists you in preparing data for submission.
- [Submit ODS Data to EPA \(PDF\)](#) - (19 pp., 2.8 MB) Demonstrates the procedures for zipping, encrypting, and sending your files to EPA for first time submitters.
  - [Routine Submittal \(PDF\)](#) (11 pp., 927 kb) - Presents the submission procedures after you have completed your initial submission.

You will need Adobe Reader to view some of the files on this page. See [EPA's PDF page](#) to learn more.

**Electronic Forms** - Download the electronic reporting forms. You will need to register with CDX and create an electronic signature in order to be able to electronically submit these forms to EPA. **Remember, you must submit electronic forms and hard copy forms for the first two quarters you use the electronic reporting system. This will allow EPA to ensure a seamless transition to the electronic reporting system.**

- Class I Producers (Except Methyl Bromide) - (coming soon)
- Class I Importers (Except Methyl Bromide) - (coming soon)
- Class I Exporters (Except Methyl Bromide) - (coming soon)
- Class II Producers - (coming soon)
- Class II Importers - (coming soon)
- Class II Exporter - (coming soon)

**Contact Information**

For questions about registering and logging onto CDX, contact 888.890.1995 or [epacdx@csc.com](mailto:epacdx@csc.com).

For other questions about your electronic data submission, contact:  
[Mike James](#) at 202.343.9192,  
[Staci Gatica](#) at 202.343.9469, or  
[Jennifer Bohman](#) at 202.343.9548.

# Contact Information

**CDX Helpdesk**

**1-888-890-1995**

**Mike James**

**(202) 343-9192**

**[james.mike@epa.gov](mailto:james.mike@epa.gov)**

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# QUESTIONS?

