
EPA Moderated Transaction System (EMTS), Release Notes

Version 3.2

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Compliance Division
Office of Transportation and Air Quality
U.S. Environmental Protection Agency

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I. Introduction

The EPA Moderated Transaction System (EMTS) version 3.2 includes the following new functionality. For additional information about EMTS functionality, refer to the EMTS User's Guide or contact the EMTS Help Desk at support@epamts-support.com.

Most of the EMTS v3.2 changes are new fields and functionality to accommodate the RFS RIN Quality Assurance Plan (QAP), which was finalized in July 2014. In addition, there are two new transaction types for locking and unlocking RINs, new QAP-related reports and notifications, and EMTS reports changes (new fields and codes for QAP). The EMTS conversion tool has been integrated into the EMTS application website, which allows users to convert Microsoft Excel files to XML files before submission. Users have the ability to download XML files previously submitted via the node, the Submit File page, or the wizard. Additionally, in order to fulfill their ERVO for all fuel within thirty days of export, renewable fuel exporters can now retire year-round and specify the compliance year when retiring for compliance. Finally, two new reason codes have been implemented for buy/sell transactions: Tolling Agreement (110) and Intra-company Transfer (120).

This document describes each of these changes. Users will need to modify the way they currently interact with EMTS in response to these system changes.

II. EMTS Schema Changes (XSD)

See the "EMTS XML Schema v3.0.zip" for the latest XML schema. The following XSD changes were implemented:

- A new data element entitled "QAPServiceTypeCode" is required for Buy, Sell, Separate, Retire, and Generate transactions, and optional for Lock and Unlock transactions. While QAPServiceTypeCode is not required by the schema for Buy, Sell, Separate, Retire, and Generate transactions, it is required by the EMTS system in order to pass validation checks and process successfully.
- A new data element entitled "QAPProviderOrganizationIdentifier" is available (not required) for Lock and Unlock Transactions. This field indicates the OTAQ Registration identifier of the organization that verified the RINs.
- An existing complex data type, entitled "OriginatingSourceDetail," is required for Lock and Unlock transactions (as LockOriginatingSourceDetail and

UnlockOriginatingSourceDetail). This complex data type is comprised of the following elements:

- GenerateOrganizationIdentifier (this element is required for all Lock and Unlock transactions),
 - GenerateFacilityIdentifier (optional, but required if reporting BatchNumberText) and,
 - BatchNumberText (optional)
- Two new transaction types are now available: Lock and Unlock. Users can submit RIN Batch information to ‘lock’ or ‘unlock’ specified RINs, but cannot ‘unlock’ RINs that have already been ‘locked’ by EPA.
 - The minimum value for Compliance Year and RIN Year is now 2010.

III. EMTS Reports

- QAPServiceType column/information added to Cancelled Trades, Completed Trades, Expired Trades, Monthly RIN Generation, Monthly Transaction History, Pending Trades, Pending Trade Details, RIN Batches, RIN Holdings, RIN Generation, Transaction Status, RFS2 EMTS Annual Report, RFS2 EMTS RIN Generation Report, RFS2 EMTS RIN Generation CSV/XML Report, RFS2 EMTS RINs Transaction Report, and RFS2 EMTS RINs Transaction CSV/XML Report.
- QAPProviderName column added to the Monthly RIN Generation, Monthly Transaction History, Pending Trade Details, RIN Batches, RIN Generation, and Transaction Status reports.
- QAPProviderIdentifier column/information added to Monthly RIN Generation, Monthly Transaction History, Pending Trade Details, RIN Batches, RIN Generation, Transaction Status, RFS2 EMTS Annual Report, RFS2 EMTS RIN Generation Report, and RFS2 EMTS RIN Generation CSV/XML Report.
- PublicSupportingPartnerDocumentText and PublicSupportingPartnerDocumentNumberText columns added to the Completed Trades, Expired Trades, Pending Trades, Pending Trade Details, Monthly Transaction History, and Transaction Status reports.
- See the “EMTS Document Descriptions v3.2.xlsx” file for more report details.

IV. EMTS Document Schema

See the “EMTS Document Schema v3.0.zip” for the latest reports schema. The following Document Schema changes were implemented:

- QAPServiceType added to RINBatchDetail.xsd, RINGeneratingDetail.xsd, RINHoldingDetail.xsd and TransactionDetail.xsd.
- QAPProviderName added to RINBatchDetail.xsd and RINGeneratingDetail.xsd.
- QAPProviderIdentifier added to RINBatchDetail.xsd and RINGeneratingDetail.xsd.

V. EMTS Excel Conversion Tool (ECT)

The EMTS Excel conversion tool functionality has been integrated into the EMTS web application to convert Microsoft Excel files (.xls and .xlsx) into XML files. This functionality is located on the Submit File Page, under the Submissions dropdown menu. The desktop version of the ECT will no longer be supported in EMTS v3.2.

- Refer to the “EMTS Excel Conversion Template v3.2.xls” to utilize this new feature of EMTS.
- Refer to the “Integrated ECT Users Guide.docx” for help getting started.

VI. EMTS Web Application

A. A new user role of QAP Provider has been implemented. QAP Providers have the ability to:

1. View Affiliated Pathways.
2. Suspend or Restore an affiliated pathway.
3. Subscribe to QAP Provider reports and notifications:
 - Verified RINs Sell Activity: includes all sell transactions submitted by the generator in the past 10 days for a pathway verified by the subscribed QAP organization.
 - Verified RINs Retire Activity: includes all retire transactions submitted by the generator in the past 10 days for a pathway verified by the subscribed QAP organization.

- Verified RINs Separate Activity: includes all separate transactions submitted by the generator in the past 10 days for a pathway verified by the subscribed QAP organization.
- Verified RINs Generate Activity: includes all RIN Batches generated for a pathway verified by the subscribed QAP organization in the past 10 days.
- Monthly Verified RINs Generate Activity: includes all RIN Batches generated for a pathway verified by the subscribed QAP organization in the previous month. This report is generated on the first Saturday of the month.
- Notification of Importer Generated RINs: notifies the subscribed QAP organization that RINS have been generated on behalf of a foreign producer's fuel pathway with which they are actively affiliated.
- Notification of Pathway Association Suspension: notifies the QAP Provider that their organization has suspended its association with one or more pathways.
- Notification of Pathway Association Restore: notifies the QAP Provider that their organization has restored its association with one or more pathways.

B. Users now have the ability to:

1. View Registered Pathways.
2. View Pathway Detail.
3. Lock and Unlock RIN Batches that they own.
4. View and download submitted XML files (via the node, the Submit File page, or the wizard) from the View Node Submissions page and the View Web Submissions page for a certain period of time.
5. Subscribe to new reports and notifications:
 - Pathway Status report: shows all of a fuel producer's registered pathways and the QAP status of those pathways.
 - Notification of Pathway Association Suspension: notifies the industry user that a QAP Provider has suspended its association with one or more of their pathways.
 - Notification of Pathway Association Restore: notifies the industry user that a QAP Provider has restored its association with one or more of their pathways.

- C. Agents now have the ability to subscribe to the Agent RIN Generation report, a report of RIN batches generated in the previous day.
- D. Renewable Fuel Exporters now have the ability to specify the compliance year when retiring for compliance. This functionality will be available year-round, operating outside the compliance window. Per 80.1430(f) and 80.1430(g) in the RFS rule published July 18, 2014, renewable fuel exporters are required to fulfill their ERVO for all fuel within thirty days of export.

See the “EMTS Document Descriptions v3.2.xlsx” file for more report details.

VII. New Reason Codes for Buy/Sell Transactions:

- Tolling Agreement: (reason code 110) allows companies to exchange fuel and RINs during the fuel production process for a particular batch.
- Intra-Company Transfer: (reason code 120) may be used when a company transfers RINs from a parent to a child company or vice-versa, but money does not exchange hands.

VIII. Known Issues

- In the CSV version of the Pathway Status, RIN Holdings, and Verified Separate RIN Activity reports, there is an extra blank field at the end of each row that appears as “” when viewed in a text editor, such as Notepad.
- QAP Service Type Code is not included in the tables on the View Importer Transactions and View Blender Transactions pages.
- QAP Service Type Code is not included in the RIN Batches table on the View Generate Transaction Details, View Buy Transaction Details, View Sell Transaction Details, View Retire Transaction Details, and View Separate Transaction Details page.
- The DateRecorded column was erroneously added to the RIN Holdings report.