

CDX Attest Engagement Submission User Guide

Version 1.0



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

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Revision Log

Date	Version No.	Description	Author	Reviewer	Review Date
10/21/14	0.01	Initial Attest User Guide Draft	C Muir	J Flynn	10/21/14

1 Introduction

This document is the User Guide for submitting Attest Engagements through the OTAQ Fuels Program Registration (OTAQReg) online application. It describes the submission process for the Attest Engagement web form in OTAQReg. For instructions on initial CDX and OTAQ Registration procedures, please reference the OTAQ Registration User Guide, available [here](#), on the [OTAQ Fuels Program Registration](#) site.

If you have any questions about the content, format, or policies for the Office of Transportation and Air Quality (OTAQ) please reference the Fuels Program website at: <http://www.epa.gov/otaq/fuels/index.htm>.

If you have any general or technical questions related to the Central Data Exchange (CDX) you may contact any of the following:

- Telephone - Person-to-person telephone support is available from the CDX Help Desk 8:00 am to 6:00 pm EST. Call our toll-free line at 888-890-1995.
- Email - Send e-mail to Technical Support at helpdesk@epacdx.net with “Technical Support” in the Subject line.

If you have any questions relating to fuels programs registration, reporting, or OTAQReg, please contact the EPA Fuels Programs and EMTS Support Line: support@epamts-support.com.

2 Access Attest Engagement Web Form

The following sections describe how to access the Attest Engagement web form from within the OTAQ Form Submissions feature in OTAQReg.

2.1 Enter OTAQ Form Submissions

To access the OTAQ Form submissions feature in OTAQReg, click the "OTAQ Form Submissions" link in the sidebar from the OTAQ Registration Home page as shown in Figure 2-1.

Figure 2-1 OTAQReg Home Page

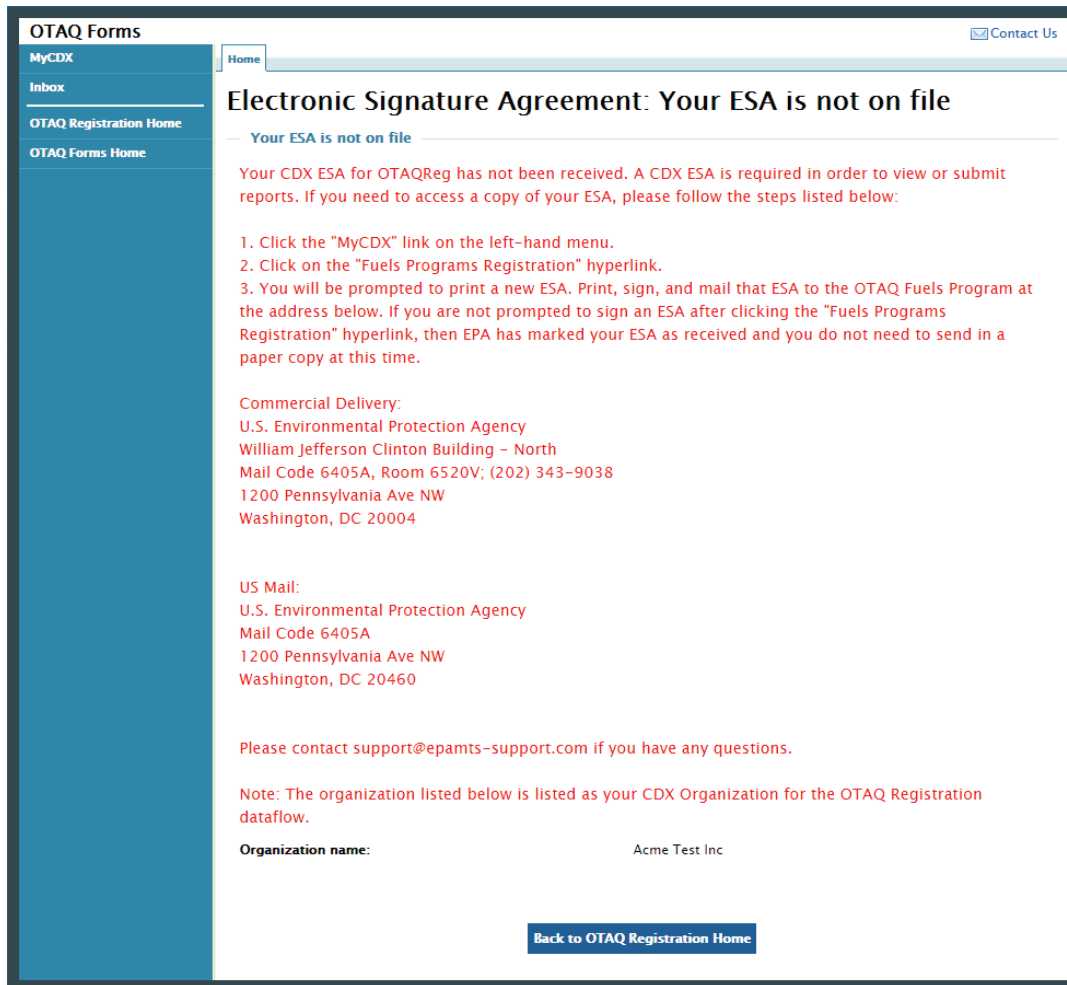
The screenshot shows the 'OTAQ Registration Home' page. On the left is a sidebar with the following menu items: MyCDX, Inbox, OTAQ Registration Home, Associate to Company, Update Existing Company Associations, Edit User Profile, and **OTAQ Form Submissions** (highlighted with a red box). The main content area is titled 'OTAQ Registration Home' and includes a 'Contact Us' link in the top right. Below the title is a 'Pending Requests' section with a table of requests. A legend below the table identifies icons for New Company, Company Update, Company Association, RCO Update, and AAD Letter. Below that is a 'Company Information' section with a table showing details for 'Acme Test Co'.

ID	Request For	Created On	Requested By	Status
CR-12171	Test 101014	10/10/2014 04:23 PM	Joe Smith	Awaiting RCO Wet Ink Signature
CR-12166	Test 092314 [6158]	10/08/2014 03:04 PM	Joe Smith	Awaiting RCO Wet Ink Signature
CR-12163	Test 092314 2 [6159]	10/08/2014 02:27 PM	Joe Smith	Awaiting RCO Wet Ink Signature
CR-12152	Pentane Test Co [6157]	10/08/2014 01:07 PM	Joe Smith	Awaiting RCO Electronic Signature
CR-12151	Petitions Test No 2 [6133]	10/08/2014 01:06 PM	Joe Smith	Awaiting RCO Wet Ink Signature
CR-12110	ABC QAP [3610]	09/23/2014 02:34 PM	Joe Smith	Awaiting RCO Electronic Signature

Company ID	Company Name	Roles	Actions
3334	Acme Test Co	<ul style="list-style-type: none"> DC Fuels Submitter, Title 40 CFR Part 80 Subpart O Company Editor 	

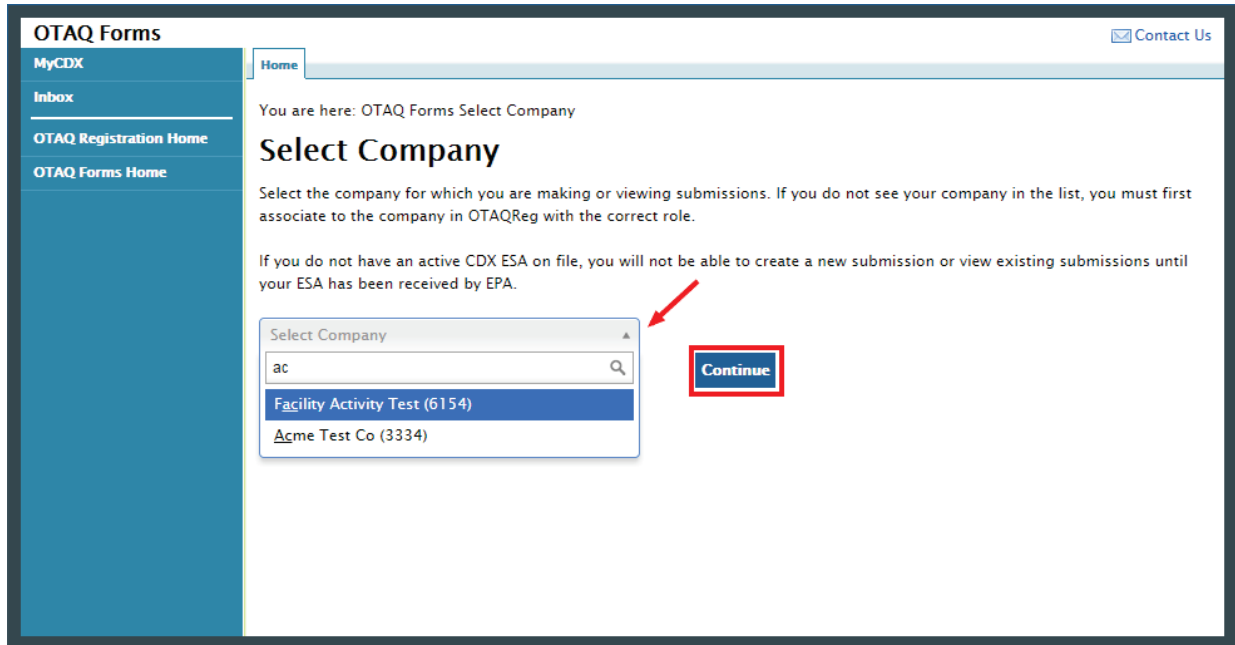
If you do not have a valid ESA with your selected CDX Organization, you will not be allowed to submit or view Attest Engagements. The page in Figure 2-2 will display, providing you with instructions on how to print and sign your ESA. For further details and instructions on receiving a valid ESA, please reference the OTAQ Registration User Guide, available [here](#), on the [OTAQ Fuels Program Registration](#) site.

Figure 2-2 No Valid CDX ESA



If you have a valid CDX Electronic Signature Agreement (ESA), you will be taken to the Select Company page as shown in Figure 2-3. The page will contain a list of all of the companies you have an association with in OTAQReg. Begin typing the company's name or select the company from the dropdown list for which you would like to create an Attest Engagement submission and click the "Continue" button.

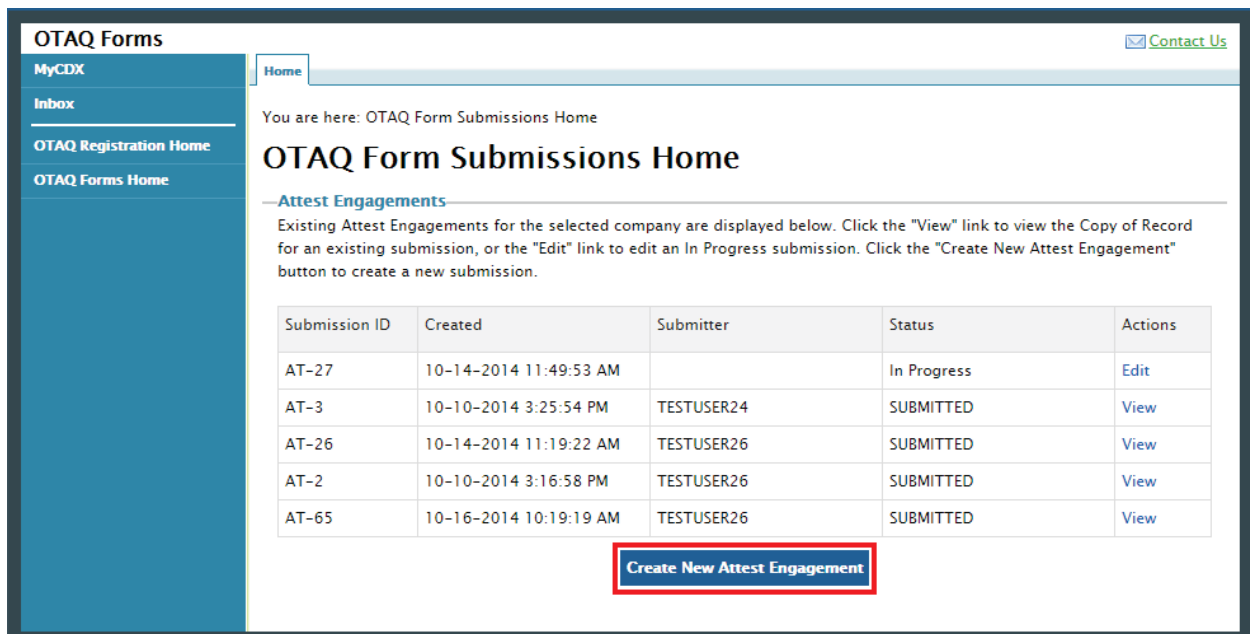
Figure 2-3 Select Company



2.2 OTAQ Form Submissions Home Page

Once you have selected a company and have a valid ESA, you will be taken to the OTAQ Form Submissions Home page as displayed in Figure 2-4.

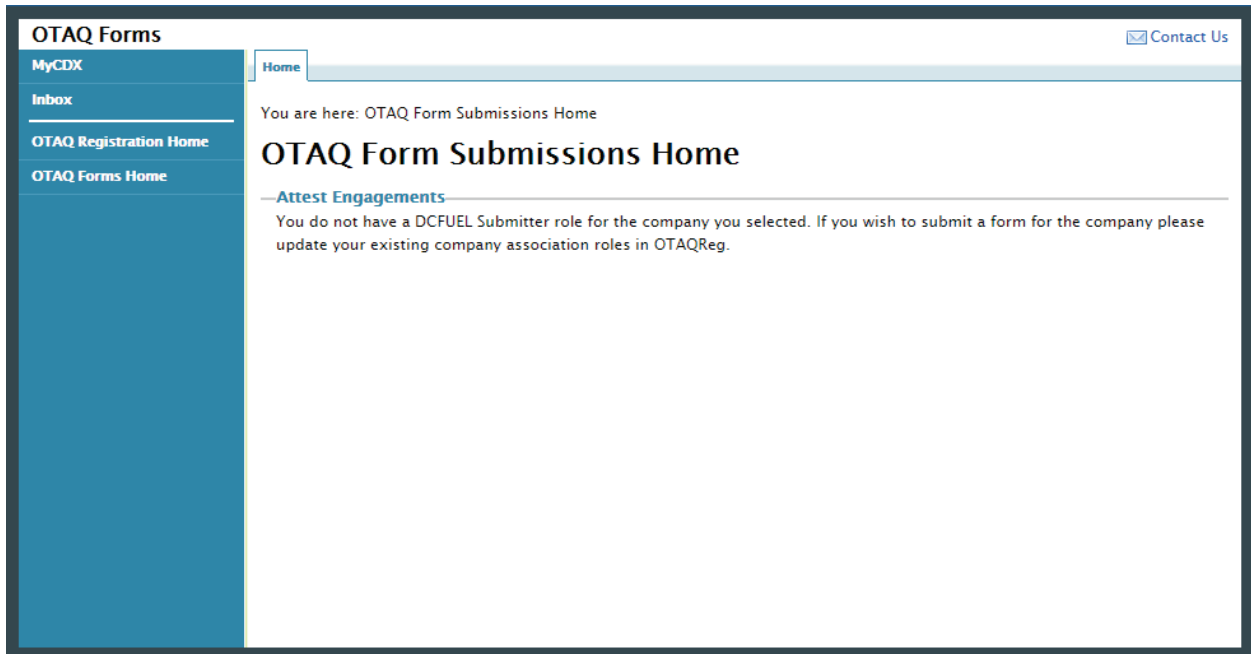
Figure 2-4 OTAQ Form Submissions Home



If the company has existing submissions, they will be displayed in a list on the home page. To create a new Attest Engagement Submission, click the "Create New Attest Engagement" button.

Note: You must have a DC Fuels Submitter role with the selected company in order to be able to view and create Attest Engagement submissions. If you do not have this role, the page in Figure 2-5 will display, indicating that you must have a DC Fuels Submitter role with the selected company. For more instructions on how to associate to a company with a DC Fuels Submitter role, please reference the OTAQ Registration User Guide, available [here](#), on the [OTAQ Fuels Program Registration](#) site.

Figure 2-5 No DC Fuels Submitter Role



3 Submit Attest Engagements

The following sections describe the process to submit a new Attest Engagement and edit an existing Attest Engagement.

3.1 Create New Attest Engagement

After clicking the "Create New Attest Engagement" button on the OTAQ Form Submissions Home page, you will be taken to the Create New Attest Engagement: Create Passphrase page as shown in Figure 3-1.

Figure 3-1 Create Passphrase

Enter and confirm a secure passphrase for your Attest Engagement submission, which will be used to encrypt your data. This passphrase is specific to this submission, and is required to access the submission at a later date for editing, or to view the Copy of Record. The passphrase should contain a combination of letters and numbers, but no special characters, and must be at least 8 characters in length.

Important! You must remember your passphrase in order to access your Copy of Record or edit and submit the Attest Engagement at a later date. For security reasons, the system administrator does not have access to your passphrase and it cannot be reset. If you forget or lose your passphrase, you will not be able to access your Copy of Record or edit the In Progress submission.

After creating your secure passphrase, click the "Save and Continue" button. Your draft Attest Engagement will be created and you will be taken to the Create New Attest Engagement page, as shown in Figure 3-2.

Figure 3-2 Create New Attest Engagement

OTAQ Forms Contact Us

MyCDX Home

Create New Attest Engagement

Please complete all required fields to submit your Attest Engagement along with the supplemental information as required in 80.130(a). The attached report should be completed by the CIA or CPA summarizing both the procedures performed and the findings in accordance with the selected regulated program. Pre-populated information is based on the approved OTAQ registration information for your selected company. Click the "Save" button to save your answers and complete the report at a later time.

All information submitted as part of this Attest Engagement may be claimed as Confidential Business Information.

Company Information

The information below is populated from the selected company's OTAQReg information.

Company Id: 3334

Company Name: Acme Test Co

Programs Covered

Only Attest Engagements for the Renewable Fuel Standard (§80.1464) program may be submitted using this form at this time, therefore the program has been selected for you. Select one or more of the applicable RFS regulated types below.

RFS (§80.1464) *	<input checked="" type="checkbox"/>
RIN-Generating Importer	<input type="checkbox"/>
RIN Owners (other than an Obligated Party or Renewable Fuel Producer or Importer)	<input type="checkbox"/>
Obligated Party	<input type="checkbox"/>
Third-party Auditor	<input type="checkbox"/>
Renewable Fuel Exporter	<input type="checkbox"/>
Renewable Fuel Producer	<input type="checkbox"/>

Facility Information

Select a facility from the list below.

Facility:

Auditor Information

Enter the name and contact information for the Auditor, as defined in §80.125.

Auditor First Name: *

Auditor Last Name: *

Auditor Address 1: *

Auditor Address 2:

Auditor City: *

Auditor State: *

Auditor Country: *

Auditor Zip: *

Auditor Phone: *

Auditor Email: *

Confirm the company information that is pre-populated at the top of the page. Then select a Regulatory Program that the Attest Engagement applies to (Please Note: At this time selection is limited to Renewable Fuel Standard (RFS).) Under "RFS (§80.1464)", you are required to select one or more of the regulated types that display below.

You may optionally use the "Facility" dropdown list to add a specific facility to the submission. If you do not select a facility, it will be assumed that your Attest Engagement applies to all facilities associated to the selected company in OTAQReg.

Additionally, you must enter the name and contact information of the auditor who created the report.

At any time during the process, you may click the "Save" button to save the progress of your submission. Your data will be encrypted and saved, and you may return to complete your submission at a later date, using the secure passphrase for access.

Click the "Save and Continue" button to continue. The page in Figure 3-3 will display.

Figure 3-3 Reporting Period and Exceptions

Enter the reporting period that the Attest Engagement applies to, and indicate what date the audit report was completed.

You are also required to indicate if any exceptions were noted or remedial actions required as a result of the audit. If you indicate "Yes" to any of these statements, a text box will display as shown in Figure 3-4. Please enter a description of the exception or actions taken, and reference the attest regulatory sections.

Figure 3-4 Description of Exceptions or Actions Taken

1. Has the reporting entity taken any remedial or other corrective actions resulting from this report? If Yes, describe the actions.

Yes
 No

Description of actions taken.

Click the "Save and Continue" button to continue to the next page. The page in Figure 3-5 will display.

Figure 3-5 Upload Report

OTAQ Forms

MyCDX

Inbox

OTAQ Registration Home

OTAQ Forms Home

Contact Us

Create New Attest Engagement : Upload Report

Upload Documents

Please upload a copy of the report and any supplemental information.

Choose File
No file chosen
Upload

Document Name	Uploaded	Size (kb)	
Nothing found to display.			

Comments

If you have any additional comments, please enter them in the box below.

Attest Statement

* Pursuant to 40 CFR 80.130(a)(2) and the attest engagement requirements of RFS (§80.1464), I am submitting the copy required by the regulations of the auditor's agreed upon procedures report.

Back
Save
Save and Continue

Click the "Choose File" or "Browse" button to navigate to and select the report file from your computer. Once you have selected the file, click the "Upload" button to upload the file.

Note: Multiple files may be attached to this submission; however file extensions are limited to the following: .pdf, .doc, .docx, .xls, .xlsx, .ppt, and .pptx. No Zip files are allowed.

Any additional comments may be provided in the Comments text field. Indicate that you agree with the Attest Statement and click the "Save and Continue" button. The page in Figure 3-6 will display.

Figure 3-6 Review Attest Engagement

OTAQ Forms

[Contact Us](#)

[MyCDX](#)
[Inbox](#)
[OTAQ Registration Home](#)
[OTAQ Forms Home](#)

Home

Create New Attest Engagement: Review

Please review the information contained on this page prior to submitting the form.

Submission Information

This is your plan submission information

Submission Type:	Attest Engagement
Attest Engagement Id:	AT-70

Submitter Information

The information below is from your CDX Registration and will be passed on to EPA with your submission. If his information is incorrect, please update your CDX Registration information prior to starting your submission. These details can only be updated within the MyCDX link on the left-hand side of this screen or by the CDX Help Desk. Please visit the FAQ section for more information on making these updates.

First Name:	John
Last Name:	Smith
CDX UserId:	TESTUSER26
Organization Name:	Acme Test Inc
Email Address:	test@example.com
Phone Number:	8888675309
Extension:	

Company Name and Location

Company ID:	3334
Name:	Acme Test Co
Address 1:	1234 Main St
Address 2:	
City:	Washington
State:	District of Columbia
Postal Code:	54321
Country:	United States

Responsible Corporate Officer (RCO) Information

RCO Name:	Jane Doe
Title:	President
Email:	test@example.com
Phone:	555-867-5309
Fax:	1112223333

Facility Information

Facility ID:	80122 , 80122 , 80122
Facility Name:	Selenium Diesel Facility Oct 18 2013 No. 263
Address 1:	Suite 353 Testing Street
Address 2:	Apartment 60
City:	Testtown
State:	Alabama
Zip:	12345
Country:	United States

Auditor Information

Auditor First Name: Joe

Auditor Last Name: Smith

Auditor Address 1: 1234 5th st

Auditor Address 2:

Auditor City: Springfield

Auditor State: California

Auditor Country: United States

Auditor Zip: 12321

Auditor Phone: 8888675309

Auditor Email: test@example.com

Programs Covered

RFS (§80.1464)

- RIN-Generating Importer
- Renewable Fuel Exporter
- Renewable Fuel Producer

Reporting Period and Audit Date

Reporting Period Covered: 2013

Date of Audit Report: December 31, 2013

Exceptions and Remedial Actions

1. Will the reporting entity take future remedial or other corrective actions resulting from this report? If Yes, describe the actions.

Yes

Comment: Description of the actions taken.

2. Were there any exceptions noted by the audit company? If Yes, list the Attest regulatory sections under the exception.

No

3. Has the reporting entity taken any remedial or other corrective actions resulting from this report? If Yes, describe the actions.

No

Documents

Document Name ▲	Uploaded ⚡	Size (kb)
Sample Attest Engagement Attachment.docx	10-16-2014 4:11:15 PM	635.12

Comments

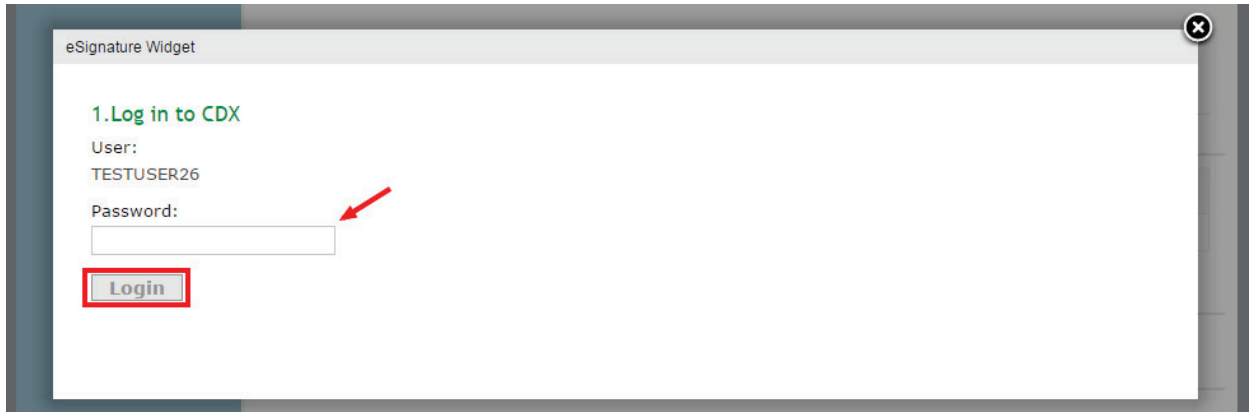
Sample supplemental comments.

Attest Statement

Pursuant to 40 CFR 80.130(a)(2) and the attest engagement requirements of RFS (§80.1464), I am submitting the copy required by the regulations of the auditor's agreed upon procedures report.

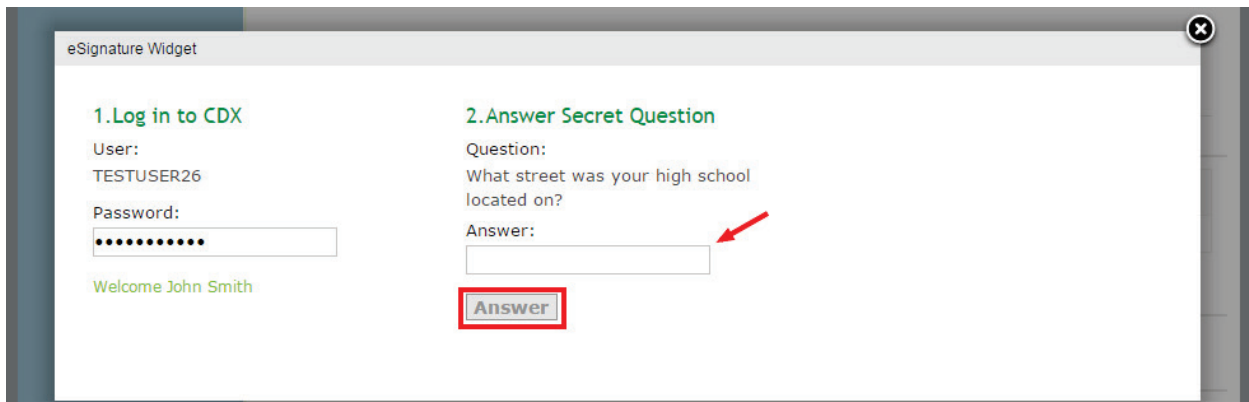
Review the information on the page to make sure it is accurate. To submit the Attest Engagement, click the "Sign, Encrypt, and Submit" button at the bottom of the page. Accept the certification terms, and the eSignature Widget will display as shown in Figure 3-7.

Figure 3-7 eSignature: Enter Password



Enter your CDX Password and click "Login". Figure 3-8 will display.

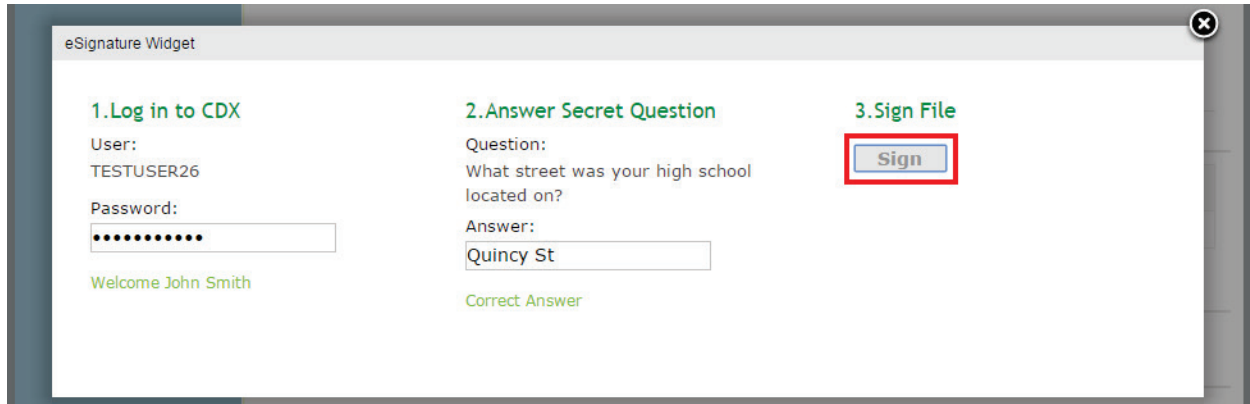
Figure 3-8 eSignature: Answer Secret Question



The widget will display one of the five secret questions you chose during your eSignature PIN verification during CDX Registration. Enter the answer to your secret question and click "Answer". Figure 3-9 will display.

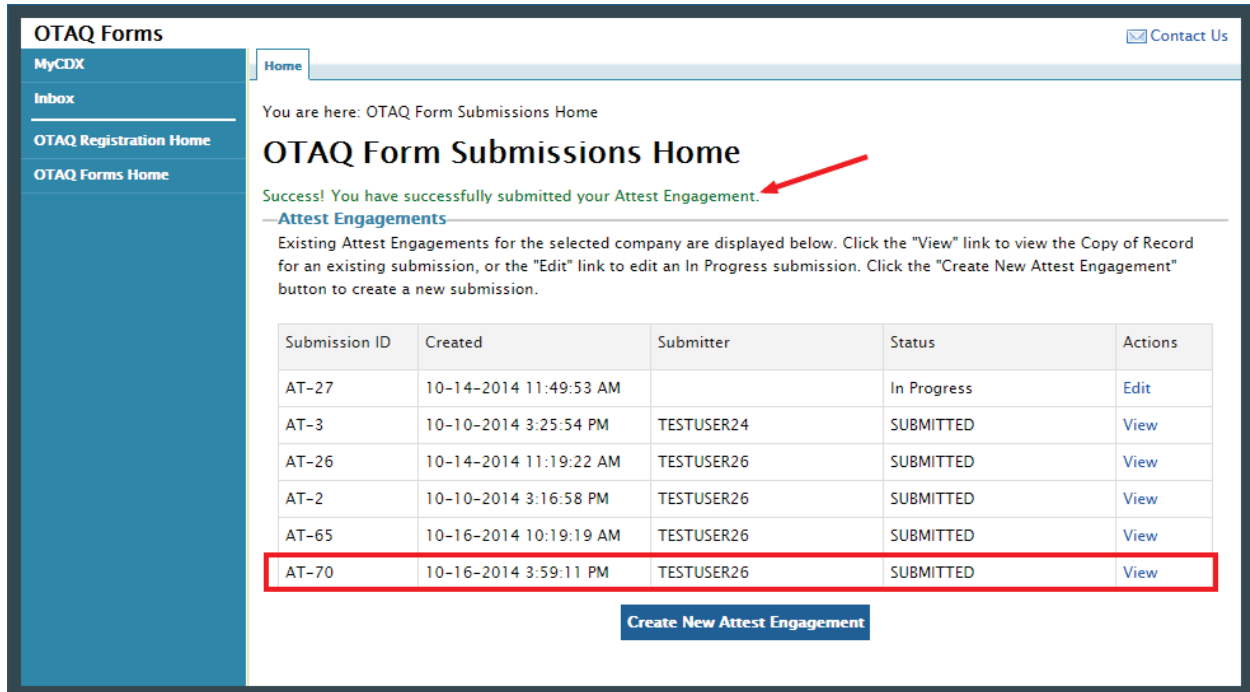
If you enter an incorrect password or secret question, you will be prompted with an error message. After three failed attempts, your CDX account will be locked. To unlock your account, contact the CDX Help Desk at 888-890-1995 or helpdesk@epacdx.net.

Figure 3-9 eSignature: Sign



Click the "Sign" button. You will be returned to the home page as shown in Figure 3-10.

Figure 3-10 Successful Submission

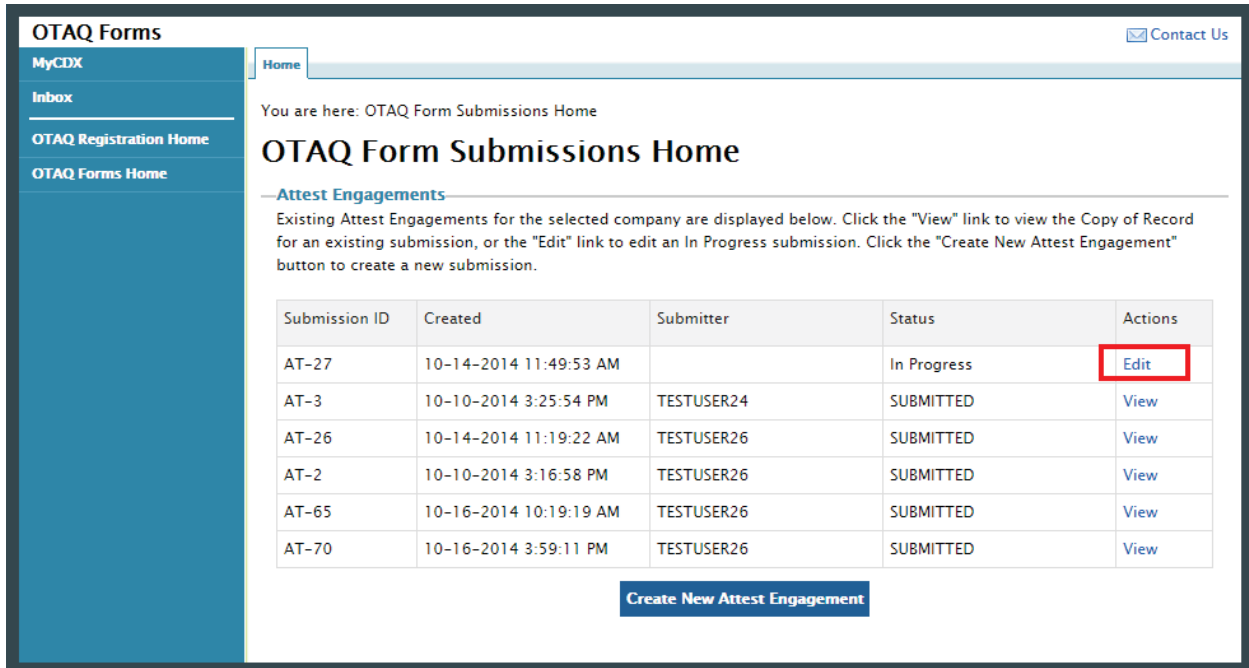


Congratulations! You have successfully submitted your Attest Engagement. The submission will be displayed on the home page with a status of "Submitted". You will receive a submission notification via your registered email and to your CDX Inbox. A separate email notification will be sent to the company's Responsible Corporate Officer (RCO) to notify them that a new Attest Engagement submission has been made.

3.2 Edit Existing Attest Engagement.

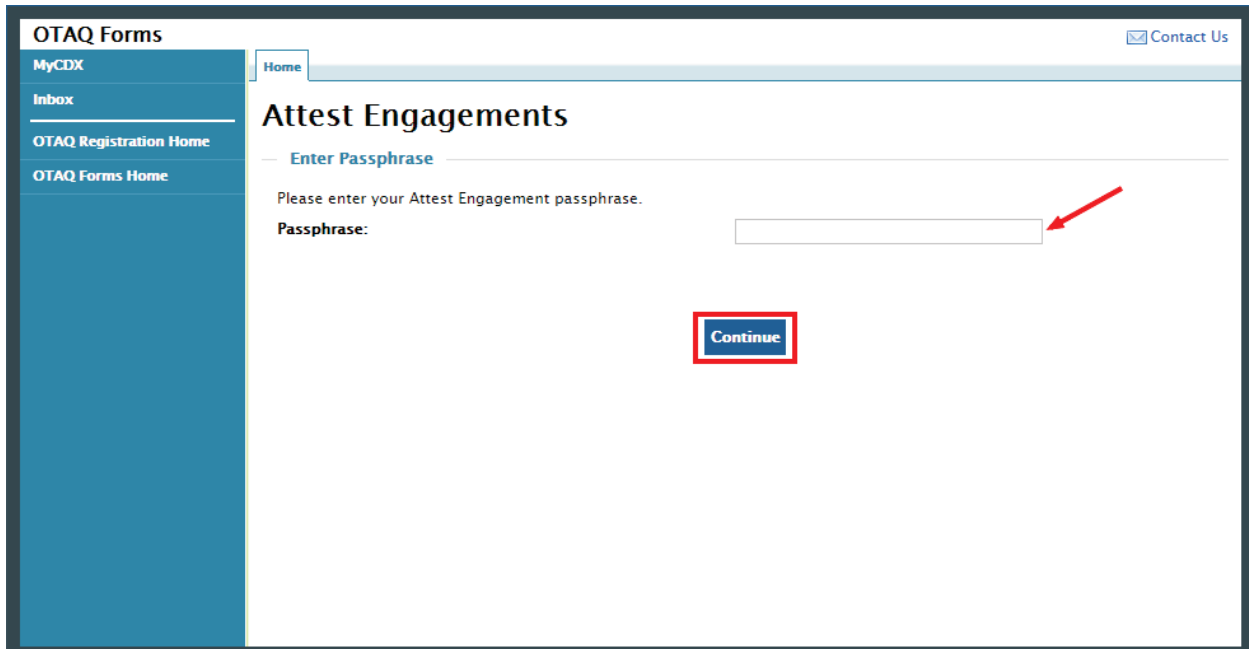
To edit a saved Attest Engagement, click on the "Edit" hyperlink next to the submission with the status of "In Progress" as shown in Figure 3-11.

Figure 3-11 Edit Existing Submission



The page in Figure 3-12 will display. Enter the submission's secure passphrase and click the "Continue" button.

Figure 3-12 Enter Passphrase



The Create New Attest Engagement page (see Figure 3-2) will display, retaining all previously saved information. Follow the steps outlined in Section 3.1 to submit the Attest Engagement.

4 View Copy of Record

To view the CROMERR Copy of Record for a submitted Attest Engagement, click the "View" link next to a submitted report as shown in Figure 4-1.

Figure 4-1 View Submitted Attest Engagement

OTAQ Forms Contact Us

MyCDX Home

Inbox

OTAQ Registration Home

OTAQ Forms Home

You are here: OTAQ Form Submissions Home

OTAQ Form Submissions Home

Attest Engagements

Existing Attest Engagements for the selected company are displayed below. Click the "View" link to view the Copy of Record for an existing submission, or the "Edit" link to edit an In Progress submission. Click the "Create New Attest Engagement" button to create a new submission.

Submission ID	Created	Submitter	Status	Actions
AT-27	10-14-2014 11:49:53 AM		In Progress	Edit
AT-3	10-10-2014 3:25:54 PM	TESTUSER24	SUBMITTED	View
AT-26	10-14-2014 11:19:22 AM	TESTUSER26	SUBMITTED	View
AT-2	10-10-2014 3:16:58 PM	TESTUSER26	SUBMITTED	View
AT-65	10-16-2014 10:19:19 AM	TESTUSER26	SUBMITTED	View
AT-70	10-16-2014 3:59:11 PM	TESTUSER26	SUBMITTED	View

[Create New Attest Engagement](#)

The page in Figure 4-2 will display.

Figure 4-2 Enter Passphrase

OTAQ Forms Contact Us

MyCDX Home

Inbox

OTAQ Registration Home

OTAQ Forms Home

Attest Engagements

Enter Passphrase

Please enter your Attest Engagement passphrase.

Passphrase:

[Continue](#)

Enter the secure passphrase and click "Continue". The page in Figure 4-3 will display.

Figure 4-3 Attest Engagement Copy of Record

OTAQ Forms Contact Us

MyCDX Home

Inbox

OTAQ Registration Home

OTAQ Forms Home

Attest Engagement Submission

Submission Info

This is your plan submission information

Submission Type: Attest Engagement

Attest Engagement Id: AT-70

CROMERR Activity Id: _6ea2920d-58a6-4427-a240-a6dbf55bfef5

CROMERR Copy of Record: [View](#) | [Download HTML](#) | [Download XML](#)

Status: Submitted

Submission Time: Oct 16, 2014 4:21 PM

Submitter Information

The information below is from your CDX Registration and has been passed on to EPA with your submission.

First Name: John

Last Name: Smith

CDX UserId: TESTUSER26

Organization Name: Acme Test Inc

Email Address: test@example.com

Phone Number: 8888675309

Extension:

The page will display the Copy of Record for the selected submission. You may download an HTML or XML version of your submission by clicking on the associated hyperlinks. Scroll down the page to view the specific form fields entered during the submission process. Any attached files may also be downloaded by clicking on the hyperlinked file name, as shown in Figure 4-4.

Figure 4-4 Download Attached Documents

3. Has the reporting entity taken any remedial or other corrective actions resulting from this report? If Yes, describe the actions.

No

Documents

Document Name ▲	Uploaded ▼	Size (kb)
Sample Attest Engagement Attachement.docx	10-16-2014 4:11:15 PM	635.12

Comments

Sample supplemental comments.

Attest Statement

Pursuant to 40 CFR 80.130(a)(2) and the attest engagement requirements of RFS (§80.1464), I am submitting the copy required by the regulations of the auditor's agreed upon procedures report.

[Back](#)

5 Support Information

For frequently asked questions about the content, formats, or policies for the Office of Transportation and Air Quality (OTAQ) please reference the Fuels Program website at <http://www.epa.gov/otaq/fuels/index.htm>.

For any general or technical questions related to the Central Data Exchange you may contact any of the following:

- Telephone - Person-to-person telephone support is available from the CDX Help Desk 8:00 am to 6:00 pm EST. Call our toll-free line at 888-890-1995.
- Email - Send e-mail to Technical Support at helpdesk@epacdx.net with "Technical Support" in the Subject line.

If you have any questions relating to fuels programs registration, reporting, or DC FUEL, please contact the EPA Fuels Programs and EMTS Support Line at support@epamts-support.com.

For complete OTAQ Registration instructions, please reference the OTAQ Registration User Guide, available [here](#), on the [OTAQ Fuels Program Registration](#) site.