

**Windsor Solutions, Inc.**

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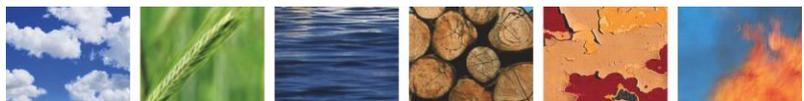
# **State and Local Emissions Inventory System (SLEIS)**

File Import Specification

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Version 1.1-CAB

August 13<sup>th</sup>, 2014



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## Revision History

<b>Date</b>	<b>Author</b>	<b>Changes</b>	<b>Version</b>
10/01/2011	Windsor Solutions	Initial version	1.0
03/01/2014	Windsor Solutions	Added column to Processes.csv and ProcessEmissions.csv file definition of “Process Emissions Page Field (Tab: Field Label)” that specifies the equivalent field within the SLEIS application’s Process Emission page. Also added some additional text in various Comments/Notes.	1.1
08/13/2014	Windsor Solutions	Added CAB-specific business rules to data file specifications.	1.1-CAB

# Introduction

The purpose of this document is to describe the State and Local Emissions Inventory System (SLEIS) file import process and flat file specification. It includes standards and conventions to use when constructing an import file, describes the physical structure of each import file type, and provides basic instruction on how to create a SLEIS import file.

The contents of this document cover the following file import related topics:

<i>File Import Process</i>	Defines the file import process, including an overview and specifics for each step in the process.
<i>CSV File Format</i>	Describes the general design conventions of the Comma Separated Values (CSV) file format.
<i>Data File Specification</i>	Details the flat file specification for each data file type used in the file import process.
<i>Appendix</i>	Specifies data file reference values, and offers brief instructions on editing CSV file formats.

# File Import Process

## Overview

File imports will be initiated and completed using the SLEIS user interface. This interface provides functionality for:

- 1) Selecting the emissions report that will receive the contents of the imported data files
- 2) Invoking the file import process for the selected emissions report
- 3) Selecting the specific data files to load for the selected emissions report
- 4) Executing the file import process, which is composed of the following three steps:
  - a. Data file format validation
  - b. Business rule validation
  - c. Database load processing
- 5) Viewing the results of the file import process, such as data file format errors and business rule violations

## Data File Format Validation

Each SLEIS data file must adhere to a pre-defined comma separated values (CSV) file format, with two data files comprising the full payload for an imported emissions report. Upon initiation of the file import process, the following data file format validation processing will be performed:

- 1) Validate that header columns in each CSV file are properly named, and that all appropriate columns exist in the file (refer to the *Data File Specification* section).
- 2) Validate that each CSV file line and field is properly formatted (refer to the *CSV File Format* section).
- 3) Validate that each CSV file line can be parsed into individual field values (refer to the *Data File Specification* section).

Any data file format validation errors will be displayed to the user within the user interface during the file import process.

## Business Rule Validation

Following successful data file format validation, the business rule engine will process the individual records extracted from the data file. Relevant business rules will be checked by the system, and any errors discovered will be displayed to the user within the SLEIS user interface during the file import process.

## Database Load Processing

Following successful business rule validation, the data extracted from the imported files will be saved to the SLEIS database. Reference the appropriate *Data File Specification* section of this document for additional details.

Data insert and overwrite/replacement will occur at the emission unit level, and the file import process can be run multiple times for a report, inserting and replacing data as needed.

For example:

- File import 1 contains emissions data for emission unit A, B, and C
- File import 2 contains emissions data for emission unit C, D, and E

In this case, data for emission unit C would be overwritten by the second file import. Data for emission units A, C, D, and E would be inserted once, and not overwritten/replaced.

## CSV File Format

A CSV data file format will be used to import data into SLEIS. This file format provides for the storage of structured data in a relatively simple format that can be easily created through automated (e.g., exported from a facility's information system) or manual (e.g., MS Excel, or even a basic text editor) means.

The CSV file format design conventions used by SLEIS data file include:

- 1) Each record will be contained on one line of the file, terminated by a line feed, or a carriage return and line feed pair, with each field separated by a comma.
- 2) The first record in the CSV file will contain a column name header in each of the fields.
- 3) There is no comma following the final field in the record.
- 4) In case field values have embedded commas, embedded double-quote characters, intentional leading/trailing space characters, or other reserved characters, fields will always be enclosed within double-quote characters, whether necessary or not.
- 5) Leading and trailing spaces or tabs adjacent to commas (not within double-quotes) will be trimmed.
- 6) Any embedded double-quote characters must be represented by a pair of double-quote characters.

*For example, a CSV file containing:*

```
"header 1" , "header 2" , "header 3" , "header 4" , "header 5"
"value 1", "", "value 3, value 3, value 3" , " value 4 " , "value ""value"" 5"
```

*Would be processed into individual rows and columns as:*

header 1	header 2	header 3	header 4	header 5
value 1		value 3, value 3, value 3	value 4	value "value" 5

## Data File Specification

Since the file import process itself will always be initiated by a user from within SLEIS, where a specific report has already been selected, the data files do not require meta-data for report identification (e.g., reporting year, facility identifier, etc.). This data will already be available at the time of import, and is not needed in the contents of the data file. Specific references to this data are made within the CSV Data File Specification where appropriate.

The emission report import payload will be composed of the following CSV data files, and will be processed in the order given:

- 1) Processes.CSV
- 2) ProcessEmissions.CSV

### Processes.CSV

General business rules:

- Will not allow import of process emissions with parent emissions units that have been “shutdown” in current reporting year or earlier
- Will not allow process emissions with unit process last/final inventory year less than current reporting year

Column Header	Allowed Values	Example	Business Rules/Notes	Process Emissions Page Field (Tab: Field Label)
EmissionUnitId	Text Value	EU1	Required. The unique emission unit identifier for the facility.	Process: Emission Unit Identifier
ProcessId	Text value	PR1	Required. The unique process identifier for the emission unit for the facility.	Process: Process Identifier
ThroughputQuantity	Floating point number	7183.175	Annual Throughput/Process Rate <b>CAB Business Rules:</b> <ul style="list-style-type: none"> <li>• Required</li> <li>• Precision and scale (P,S) is limited to (25,10)</li> </ul>	Process: Annual Throughput
ThroughputUnit	Text value*		*Refer to the valid reference values provided by the agency for this attribute in either the ReferenceValues.CSV file, or by referring to the equivalent Process Emissions page field within the application.	Process: Throughput Unit of Measure

Column Header	Allowed Values	Example	Business Rules/Notes	Process Emissions Page Field (Tab: Field Label)
			<b>CAB Business Rules:</b> <ul style="list-style-type: none"> <li>Required</li> </ul>	
ThroughputType	Text value*		*Refer to the valid reference values provided by the agency for this attribute in either the ReferenceValues.CSV file, or by referring to the equivalent Process Emissions page field within the application. <b>CAB Business Rules:</b> <ul style="list-style-type: none"> <li>Required</li> </ul>	Process: Throughput Type
ThroughputMaterial	Text value*		*Refer to the valid reference values provided by the agency for this attribute in either the ReferenceValues.CSV file, or by referring to the equivalent Process Emissions page field within the application. <b>CAB Business Rules:</b> <ul style="list-style-type: none"> <li>Required</li> </ul>	Process: Throughput Material
JanuaryThroughput	Floating point number	250.125	Only provide a value if monthly throughput values are utilized by the agency. <b>CAB Business Rules:</b> <ul style="list-style-type: none"> <li>Not used. Leave blank.</li> </ul>	Process: Monthly Throughput Totals January
FebruaryThroughput	Floating point number	250.125	Only provide a value if monthly throughput values are utilized by the agency. <b>CAB Business Rules:</b> <ul style="list-style-type: none"> <li>Not used. Leave blank.</li> </ul>	Process: Monthly Throughput Totals February
MarchThroughput	Floating point number	250.125	Only provide a value if monthly throughput values are utilized by the agency. <b>CAB Business Rules:</b> <ul style="list-style-type: none"> <li>Not used. Leave blank.</li> </ul>	Process: Monthly Throughput Totals March
AprilThroughput	Floating point number	250.125	Only provide a value if monthly throughput values are utilized by the agency. <b>CAB Business Rules:</b> <ul style="list-style-type: none"> <li>Not used. Leave blank.</li> </ul>	Process: Monthly Throughput Totals April
MayThroughputQty	Floating point number	250.125	Only provide a value if monthly throughput values are	Process: Monthly Throughput Totals

Column Header	Allowed Values	Example	Business Rules/Notes	Process Emissions Page Field (Tab: Field Label)
			utilized by the agency. <b>CAB Business Rules:</b> • Not used. Leave blank.	May
JuneThroughput	Floating point number	250.125	Only provide a value if monthly throughput values are utilized by the agency. <b>CAB Business Rules:</b> • Not used. Leave blank.	Process: Monthly Throughput Totals June
JulyThroughput	Floating point number	250.125	Only provide a value if monthly throughput values are utilized by the agency. <b>CAB Business Rules:</b> • Not used. Leave blank.	Process: Monthly Throughput Totals July
AugustThroughput	Floating point number	250.125	Only provide a value if monthly throughput values are utilized by the agency. <b>CAB Business Rules:</b> • Not used. Leave blank.	Process: Monthly Throughput Totals August
SeptemberThroughput	Floating point number	250.125	Only provide a value if monthly throughput values are utilized by the agency. <b>CAB Business Rules:</b> • Not used. Leave blank.	Process: Monthly Throughput Totals September
OctoberThroughputQuantity	Floating point number	250.125	Only provide a value if monthly throughput values are utilized by the agency. <b>CAB Business Rules:</b> • Not used. Leave blank.	Process: Monthly Throughput Totals October
NovemberThroughputQuantity	Floating point number	250.125	Only provide a value if monthly throughput values are utilized by the agency. <b>CAB Business Rules:</b> • Not used. Leave blank.	Process: Monthly Throughput Totals November
DecemberThroughputQuantity	Floating point number	250.125	Only provide a value if monthly throughput values are utilized by the agency. <b>CAB Business Rules:</b> • Not used. Leave blank.	Process: Monthly Throughput Totals December
ActualHrsOperation	Floating point number	7233	<b>CAB Business Rules:</b>	Operations: Actual Hours

Column Header	Allowed Values	Example	Business Rules/Notes	Process Emissions Page Field (Tab: Field Label)
	>=0 and <= 8784		<ul style="list-style-type: none"> <li>Required</li> <li>Precision and scale (P,S) is limited to (5,1)</li> <li>Must be within +/- .5% of hours calculated using AvgHrsPerDay, AvgDaysPerWeek, and AvgWeeksPerYear</li> </ul>	
AvgHrsPerDay	Floating point number, >=0 and <= 24	22.5	<b>CAB Business Rules:</b> <ul style="list-style-type: none"> <li>Required</li> <li>Precision and scale (P,S) is limited to (3,1)</li> </ul>	Operations: Average Hours/Day
AvgDaysPerWeek	Floating point number, >=0 and <=7	6.1	<b>CAB Business Rules:</b> <ul style="list-style-type: none"> <li>Required</li> <li>Precision and scale (P,S) is limited to (2,1)</li> </ul>	Operations: Average Days/Week
AvgWeeksPerYear	Floating point number, >=0 and <=52	50.5	<b>CAB Business Rules:</b> <ul style="list-style-type: none"> <li>Required</li> <li>Precision and scale (P,S) is limited to (3,1)</li> </ul>	Operations: Average Weeks/Year
DecToFebPercent	Floating point number, >= 0 and <= 100	24.55	<b>CAB Business Rules:</b> <ul style="list-style-type: none"> <li>Required</li> <li>Precision and scale (P,S) is limited to (4,1)</li> <li>Total seasonal % must be between 99.5 and 100.5 or 0</li> </ul>	Operations: Season Operations December-February (%)
MarToMayPercent	Floating point number, >= 0 and <= 100	24.55	<b>CAB Business Rules:</b> <ul style="list-style-type: none"> <li>Required</li> <li>Precision and scale (P,S) is limited to (4,1)</li> <li>Total seasonal % must be between 99.5 and 100.5 or 0</li> </ul>	Operations: Season Operations March-May (%)
JunToAugPercent	Floating point number, >= 0 and <= 100	25	<b>CAB Business Rules:</b> <ul style="list-style-type: none"> <li>Required</li> <li>Precision and scale (P,S) is limited to (4,1)</li> <li>Total seasonal % must be between 99.5 and 100.5 or 0</li> </ul>	Operations: Season Operations June-August (%)
SepToNovPercent	Floating point number, >= 0 and <= 100	36.7	<b>CAB Business Rules:</b> <ul style="list-style-type: none"> <li>Required</li> <li>Precision and scale (P,S) is limited to (4,1)</li> <li>Total seasonal % must be between 99.5 and 100.5 or 0</li> </ul>	Operations: Season Operations September-November (%)
TotalOzoneSeasonDays	Integer, 0-153	153	Days operated May-September.	Operations: Total Ozone Season Days (May-September)

Column Header	Allowed Values	Example	Business Rules/Notes	Process Emissions Page Field (Tab: Field Label)
			<b>CAB Business Rules:</b> <ul style="list-style-type: none"> <li>If specified, if the March-May (%) is not &gt; 0 and June-August (%) is not &gt; 0 and September-November (%) is not &gt; 0, the Total Ozone Season Days cannot be &gt; 0</li> </ul>	
TotalSummerSeasonDays	Integration, 0-92	92	Days operated June-August. <b>CAB Business Rules:</b> <ul style="list-style-type: none"> <li>If specified, if the June-August (%) is not &gt; 0, the Total Summer Season Days cannot be &gt; 0</li> </ul>	Operations: Total Summer Season Days (June-August)
TotalCOSeasonDays	Integer, 0-91	91	Days operated December-February. <b>CAB Business Rules:</b> <ul style="list-style-type: none"> <li>If specified, if the December-February (%) is not &gt; 0, the Total CO Season Days cannot be &gt; 0</li> </ul>	Operations: Total CO Season Days (December-February)
AshContentPercent	Floating point number	.05	<b>CAB Business Rules:</b> <ul style="list-style-type: none"> <li>Required when ThroughputMaterial code is '2', '56', '57', '58', '124', '126', '127', '159', '160', '162', '178', '209', '216', '255', '256', '279', '349', '553', '561', '567', '663', '664', '717', '794', '922', '923' or '924'</li> <li>Required when ThroughputMaterial code is '596', '599', or '921' and reporting year is &gt;=2015</li> <li>If specified, precision and scale (P,S) is limited to (8,5)</li> <li>If specified, must be &gt;= .01 and &lt;= 10</li> </ul>	Process: Supplemental Calculation Parameters Ash (%)
SulfurContentPercent	Floating point number	2.75	<b>CAB Business Rules:</b> <ul style="list-style-type: none"> <li>Required when ThroughputMaterial code is '349', '663', '664', '717', or '794'</li> <li>Required when ThroughputMaterial code is '2', '56', '57', '58', '216', '279', '561', '567', '596', '921', '922', '923', or '924', and reporting year is &gt;=2015</li> <li>Precision and scale (P,S) it limited to (8,5)</li> <li>If specified, must be &gt;= .01 and &lt;= 30</li> </ul>	Process: Supplemental Calculation Parameters Sulfur (%)
HeatContent	Floating point number	1000.25	In MMBTU per ThroughputUnit.	Process:

Column Header	Allowed Values	Example	Business Rules/Notes	Process Emissions Page Field (Tab: Field Label)
			<b>CAB Business Rules:</b> <ul style="list-style-type: none"> <li>Required when ThroughputMaterial code is '2', '56', '57', '58', '124', '126', '127', '159', '160', '162', '178', '209', '216', '255', '256', '279', '349', '553', '561', '567', '596', '663', '664', '717', '794', '921', '922', '923', or '924'</li> <li>Required when ThroughputMaterial code is '599' and reporting year is &gt;=2015</li> <li>Precision and scale (P,S) is limited to (15,5)</li> <li>If specified, must be &gt;= 0 and &lt;= 1000000</li> </ul>	Supplemental Calculation Parameters Heat Content (MMBTU/Unit)
IsReported	Text value of: <ul style="list-style-type: none"> <li>TRUE</li> <li>FALSE</li> </ul>	TRUE	Defaults to TRUE if not specified. NOTE: If IsReported value is FALSE, no process data or process emissions data will be imported for this process (if any has been specified).	Process: Process is Reported?
IsConfidential	Text value of: <ul style="list-style-type: none"> <li>TRUE</li> <li>FALSE</li> </ul>	FALSE	Defaults to FALSE if not specified. NOTE: If IsConfidential value is TRUE, throughput quantity and process emission factors will be treated as confidential business information (CBI), and not reported to the EPA. <b>CAB Business Rules:</b> <ul style="list-style-type: none"> <li>Must be blank or FALSE. CAB does not support CBI (confidential business information) flag for process emission records.</li> </ul>	Process: Process is CBI?
Comments	Text value up to 4000 characters in length		Comments/notes regarding the process emission record.	Process: Comments

## ProcessEmissions.CSV

General business rules:

- At least one pollutant must be specified for each process reported in the Processes.csv file
- Pollutants cannot be duplicated (reported twice) for the same emission unit and process

Column Header	Allowed Values	Example	Business Rules/Notes	Process Emissions Page Field (Tab: Field Label)
EmissionUnitId	Text value	EU1	Required.	Process: Emission Unit Identifier

Column Header	Allowed Values	Example	Business Rules/Notes	Process Emissions Page Field (Tab: Field Label)
			Unique emission unit identifier for the facility. Used as pseudo key along with ProcessId to the corresponding Processes.CSV record.	
ProcessId	Text value	PR1	Required.  Unique process identifier for the facility. Used as pseudo key along with EmissionUnitId to the corresponding Processes.CSV record.	Process: Process Identifier
PollutantCode	Text value	NOX <i>OR</i> 000071432	Required.  *Refer to the valid reference values provided by the agency for this attribute in either the ReferenceValues.CSV file, or by referring to the equivalent Process Emissions page field within the application.	Emissions: Pollutant Code
CalculationMethod	Text value*		Required.  *Refer to the valid reference values provided by the agency for this attribute in either the ReferenceValues.CSV file, or by referring to the equivalent Process Emissions page field within the application.	Emissions: Calculation Method
EmissionFactor	Floating point number	3.3579	In Lbs per EmissionFactorUnit  <b>CAB Business Rules:</b> <ul style="list-style-type: none"> <li>Required if CalculationMethod code is NOT '1', '2', '3', '4', '5', '6', or '7'</li> <li>Not allowed (leave blank) if CalculationMethod code is '1', '2', '3', '4', '5', '6', or '7'</li> <li>Precision and scale (P,S) is limited to (28,15)</li> </ul>	Emissions: Emission Factor (Lbs/Unit)
EmissionFactorUnit	Text value*		*Refer to the valid reference values provided by the agency for this attribute in either the ReferenceValues.CSV file, or by referring to the equivalent Process Emissions page field within the application.  NOTE: The EmissionFactorUnit value supplies the denominator of the implied "Lbs" per EmissionFactorUnit of the EmissionFactor value, and	Emissions: Emission Factor Unit

Column Header	Allowed Values	Example	Business Rules/Notes	Process Emissions Page Field (Tab: Field Label)
			must match the Processes.csv, ThroughputUnit value. <b>CAB Business Rules:</b> <ul style="list-style-type: none"> <li>Required if CalculationMethod code is NOT '1', '2', '3', '4', '5', '6', or '7'</li> <li>Not allowed (leave blank) if CalculationMethod code is '1', '2', '3', '4', '5', '6', or '7'</li> </ul>	
EmissionQty	Floating point number	2978.45678	Required. Estimated emissions in Tons. NOTE: If a CalculationMethod is specified that requires an EmissionFactor and EmissionFactorUnit, the EmissionQty will be calculated upon import, and the EmissionQty from the import file will be ignored. If CalculationMethod is specified that DOES NOT require EmissionFactor, EmissionFactor and EmissionFactorUnit cannot be specified, and EmissionQty must be specified. <b>CAB Business Rules:</b> <ul style="list-style-type: none"> <li>Must be &gt;= 0</li> <li>Precision and scale (P,S) is limited to (28,15)</li> </ul>	Emissions: Estimated Emissions (Tons)
Comments	Text value up to 4000 characters in length		Comments/notes regarding the process emission record.	Emissions: Comments

# Appendix

## Reference Data Values

Reference data used to validate values within the imported data files is agency specific, and is not documented within this specification. The *Download Template* function available on the report home page will generate the following CSV files:

1. Processes.CSV

Data from the currently selected report, formatted per specification in the *Data File Specification* section for this CSV file type.

2. ProcessEmissions.CSV

Data from the currently selected report, formatted per specification in the *Data File Specification* section for this CSV file type.

3. ReferenceValues.CSV (see below)

Contains reference values for any data file column requiring validated values per the specification in the *Data File Specification* for any CSV file type.

Column Header	Example	Comments/Notes
AttributeName	AnnThroughputUnit	Corresponding column header/attribute name as documented in the data file specification.
Value	GAL	Code/value to input into the data file.
Description	GALLONS	Descriptive text of the code/value specified in the value column.
Notes		Additional descriptive text or instructions on the attribute value.

## Editing CSV Files

Ideally, generation of SLEIS-compatible CSV files will be handled programmatically through a facility's existing information system(s), or possibly Microsoft Excel macros/scripting.

For manual editing of the CSV files, the default editor for most users will likely be Microsoft Excel, which recognizes the CSV file format and automatically loads and formats the data. Any text editor may also be used (e.g., Notepad, etc.) to edit CSV files, and there are a variety of dedicated CSV file editors. For example:

- <http://csved.sjfrancke.nl/>
- <http://www.ronsplace.me.uk/Professional/Products/TabularDataEditor/Default.aspx>

*Note that one significant limitation of editing CSV files with Microsoft Excel is that an undesired data conversion will occur when opening a CSV file with leading 0's (zeros) in alpha-numeric fields. For example, a process name, or code value with all numeric values will be converted to a numeric value with leading zeros removed upon opening the file. This can cause values such as '001' to be converted to the number 1 (no leading zeroes).*

To edit a CSV file in MS Excel without having leading zeros removed from fields, perform the following steps:

1. Extract the individual .CSV files from the .ZIP file generated using the Export or Download Template function to your local system (e.g., C:\Users\[username]\Desktop)
2. Open the MS Excel application (Note: **NOT** by double-clicking the file, just open the application itself)
3. Click on the *Data* tab
4. Click *From Text* on the ribbon bar of the *Data* tab. A file selection dialog will be opened.
5. Navigate to where you extracted the files from the .ZIP file and select one of the file (e.g., Processes.csv), then click *Import*. The Text Import Wizard dialog is opened.
6. Ensure the *Delimited* file type option is selected, then click *Next*.
7. Ensure *Comma* is the only item selected in the *Delimiters* section and click the *Next* button.
8. In the *Data Preview* section, select field that could contain leading zeros (e.g., the EmissionUnitId and ProcessId columns) and select the *Text* option in the *Column data format* section. Repeat for all columns that could contains leading zeros you want to retain in the value.
9. Click *Finish*.

Note: The file can then be edited and saved as an MS Excel document, but you will need to save as .CSV file format before it can be imported back into SLEIS (through File Save As dialog in MS Excel, choose .